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ABSTRACT

Intended to highlight those aspects of the archival field that government officials should be aware of, this report on the Records and Archives Management Programme (RAMP) outlines the major principles of records management and archives administration, identifies the information needs of the decision makers, and assesses the ways in which records and archives are being handled and the extent to which the needs of the decision makers are being satisfied. It also draws attention to the advantages that accrue when records and archives are used in decision making and the adverse consequences that can result when decisions are made without adequate reference to records and archives. The report is based primarily on information and data that were gathered through two questionnaires circulated in early 1989 to category A members of the International Council on Archives and to the National Archives of selected countries. Responses to the second questionnaire were received from ministries and departments in Australia, Botswana, Singapore, Yugoslavia, and Zimbabwe. This report covers the origins of records and archives; records and archives in decision making; various procedures involved in records management; archival procedures; planning for archives; legislative authority; staffing; and the responsibilities of archivists and of decision makers. Lists of institutions that responded to the two questionnaires are appended as well as a table showing the staffing levels for archives in relation to the population in 52 countries. (DB)

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Archives and records management for decision makers: a RAMP study

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ARCHIVES AND RECORDS MANAGEMENT

FOR DECISION MAKERS :

A RAMP STUDY

prepared by

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PREFACE

The Division of the General Information Programme of UNESCO in order to better meet the needs of Member States, particularly developing countries, in the specialized areas of records management and archives administration, has developed a coordinated long-term Records and Archives Management Programme - RAMP.

The Basic elements of the RAMP programme reflect the overall themes of the General Information Programme itself. RAMP thus includes projects, studies, and other activities intended to:

- develop standards, rules, methods and other normative tools for the processing and transfer of specialized information and the creation of compatible information systems ;

- enable the developing countries to set up their own data bases and have access to those now in existence throughout the world, so as to increase the exchange and flow of information through the application of modern technologies ;

- promote the development of specialized regional information networks ;

- contribute to the harmonious development of compatible international information services and systems ;

- set up national information systems and improve the various components of these systems ;

- formulate development policies and plans in this field ;

- train information specialists and users and develop the national and regional potential for education and training in the information sciences, library science and archives administration.

The present study prepared under contract with the International Council on Archives examines the principles of records management and archives administration and relates them to the decision making process. It is intended to highlight those aspects of the archival field that government officials should be aware of. The study will be useful to both the decision makers as well as the archivists who must provide information to the decision makers. It includes interesting appendices, the third of which concerns staffing levels in relation to population.

Comments and suggestions regarding the study are welcomed, and should be addressed to the Division of the General Information Programme, UNESCO, 7 place de Fontenoy, F-75700 Paris. Other studies prepared under the RAMP programme may also be obtained at the same address.

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1. INTRODUCTION

Decision makers need records and archives when making decisions. The speed with which the decisions are made and the quality of the decisions made depends on the availability of information which enables all relevant factors and issues to be considered before a decision is made. The availability of information however is dependent on the way in which the records and archives have been organised. The organisation of the records and archives is achieved through the application of records and archives management techniques. The effective use of records and archives in decision making is therefore governed by the extent to which the records and archives have been organised and managed and by the extent to which the decision makers are able to obtain access to and use records and archives in making decisions.

This document outlines the major principles of records management and archives administration, identifies the information needs of the decision makers, assesses the manner in which records and archives are being handled and the extent to which the needs of the decision makers are being satisfied. It draws attention to the crucial role that records and archives have in decision making, the advantages that accrue when records and archives are used in decision making and the adverse consequences that can result when decisions are made without adequate reference to records and archives.

The document should be useful to both the decision makers and the archivists. While indeed it will not dwell at length on the decision making processing it will however examine archival practice in depth in order to make the decision maker aware of the processes by which records become archives and to show the relevence of these archives to decision making. Archival practices will also be examined to find out the extent to which they are supplying a relevent service to the decision makers and it is hoped that any shortcomings that are revealed will if anything explain the present poor utilisation of archives in decision making and point the way to improvements that are necesary.

The decision making process will of course differ from institution to institution and from country to country as will archival practice. This document cannot then be expected to cover all situations and contingencies nor to have universal applicability. There is a very real realisation that there is a wide difference of practice

between the Developed and Developing World. There is also recognition that the role of the archivist will be interpreted differently from country to country and from region to region. With these limitations in mind however the main conclusions of this study will have a validity for the archivists of both the Developed and Developing countries. The inadequate resources seem to afflict archivists from both areas. The conservation and reluctance to adopt new strategies and technologies seems to be a universal problem and the low extent of usage of archives in decision making seems equally shared. To this extent therefore it seems essential that archivists from both the Developed and Developing World should re examine and reappraise their practices and make certain fundamental readjustments and realignments.

This document is based primarily on information and data which was gathered through two questionnaire that were circulated in early 1989. The first questionnaire was sent to all category A members of the International Council on Archives. One hundred and fifty eight questionnaires were sent out and seventy four responses were received. As the response began trickling in however, it became clear that it would also be necessary to obtain the opinions of those who created the records and archives and who used them in making decisions.

A second questionnaire was thus sent to the National Archives of a few selected countries, namely, Australia, Botswana, Canada, Federal Republic of Germany, Kenya, Singapore, Yugoslavia and United Kingdom. These institutions were requested to distribute the questionnaire to Government Ministries and departments and to other institutions that might be of relevance and interest. The questionnaire was also sent to Government Ministries and departments in Zimbabwe. Responses were received from 12 ministries and departments in Australia, 24 in Botswana, 5 in Singapore, 4 in Yugoslavia and 10 in Zimbabwe. The response levels were obviously rather dissapointing making it difficult to draw statistically valid samples. They however have made it possible to draw some examples.

The sending of the questionnaires to the creators and users of the records and archives as well as to custodians and keepers has provided some interesting information and data. There is little doubt that both groups see records and archives as being very important. They are equally agreed that records and archives should be accorded the highest priority and recognition. This acceptance of the role and importance of archives is however clearly not

matched by the provision of the requisite resources and the picture that emerges is of institutions battling with inadequate financial and material resources to gather, store, preserve and make available to users the records and archives which the users need in order to make decisions. Partly as a result of insufficient resources and partly because of the policies of the archival institutions records and archives are not playing the pivotal role in decision making that they are capable of playing.

The questionnaires that were sent out were deliberately unorthodox in their approach and in the line of questioning pursued, and this prompted an esteemed colleague to say that he could see no point in filling the questionnaire observing that "there is no chance of giving you an adequate impression of our situation ------- by filling in the form ..... I would like to wish you good success for your project. Unfortunately I have some doubts as well to the goal and to the method". Gratefully though, the colleague enclosed literature relating to his institution which enabled relevant information to be extracted.

The questionnaires however were meant to take the archivists from their traditional and habitual pursuits into perhaps new dimensions of thinking and areas of endeavour. The questionnaires aimed at establishing the financial and material resources available to these institutions, their positions and practices in relation to the management of current, semi-current and non-current records, the extent to which they had assessed and quantified the needs of the decision makers and the extent to which they were ensuring that the decision makers had adequate access to the records and archives that they needed in decision making. The questionnaires also aimed at assessing the extent to which archival institutions, in spite of their obvious specialisation, saw themselves as no different from any other institutions in terms of their general management. It aimed at assessing the way in which archival institutions saw the need to run their institutions using modern management techniques for the procurement of goods, supplies and services, for managing materials in stock, for marketing their products and services, and for managing the human resources. The better management of archival institutions was seen as critical to the generation of the ability of the institutions to provide a relevant service to the records creators and users.

From the responses received, it seems that by and large archival institutions are operating i very much the same way that they have been operating for generations. And yet if it is a records management and archives administration service that they are offering to modern Governmental institutions, their survival and relevance lies in recognising the changes that have taken place in the record creating agencies, changes that have affected the demand and needs of the decision makers and that require consonant adjustments by those entrusted with custodianship of the records and archives. There is an obvious need for archival institutions to overhaul and harmonize their practices in order to achieve that status of relevance which the decision makers obviously expect and need.

The responses received came from all parts of the world, from Africa, Australasia, Asia, Europe, the Americas and Oceania and from both developed and developing countries. It was most gratifying that most of the questionnaires were filled or completed by the heads or deputies of the institutions to which they had been sent. Since the first questionnaire was sent primarily to national archival institutions and to institutions operating at state, provincial and local authority level, reference to archival institutions within this document will thus refer to institutions operating at these levels. Decision makers will also be confined to those working in Governmental and public institutions especially those operating at Government Ministry or departmental level.

In analysing the responses, there will be many instances in which the responses will not tally with the number of questionnaires received. This is primarily because not all institutions responded to all questions and some of the responses could not be used for purposes of analysis and statistical collation.

2. ORIGINS OF RECORDS AND ARCHIVES

2.1 Origins

Records and archives have been in existence since mankind acquired the ability to record information in writing. The earliest keeping of records and archives can be traced to the Ancient Civilisations when records of birth, property, law, money, tax and official and private transactions began to be kept to facilitate the conduct of government business, and for education, religion and family purposes. The medium on which this information was recorded differed from society to society as well as from age to age ranging from the clay tablets of the Assyrian and Babylonian Empires of the third millennium to the wooden tablets that found their way into Greece, the papyrus scrolls of Egypt and the parchment and vellum of Medieval Europe.

The reasons why records and archives were kept were very much clear. To prove your right to the possession of a certain piece of land you needed title deeds; to determine the size of population being governed and therefore the taxes that should be collected you required records of birth and death; to enforce government laws and regulations it was necessary to keep a record of the laws, decrees and edicts. The keeping of records and archives was therefore not a luxury but a necessity on which depended one's ability to continue to rule and to have rights and privileges. The records and archives were also preserved in order to prove the rights and privileges of those who were being governed. In Roman Egypt, for instance, every provincial capital had a central record office known as a demosia bibliotheke where officials were required to deposit certain records relating to census, tax, land and other official transactions. These record offices were open to the public who could come and inspect the records.

The growth and development of records and archives has however not been uniform throughout the world. As with most other things some societies gained certain capabilities earlier than others. In respect to records and archives those societies that developed their organisational structures earlier often developed comparative recording infrastructures to document their activities. The capability to keep records and archives was thus attained first by those societies that learnt to write and record. While these societies did not develop in isolation as is evidenced by the record keeping practices in Roman Egypt which had borrowed elements from the Roman and Asian

Empires, nevertheless the nature of the records and archives ensured that to a large extent each society had its own record and archive keeping practices that were uniquely different from those of other societies.

This is not surprising for it is the essential and distinguishing nature of records and archives. Records and archives are the by-product of the activities of a particular entity. While their creation may be a deliberate and controlled activity they are however not created for their own sake in the way that someone writes a book or a story. They are the residue of certain transactions whose nature can differ so widely from governing to conducting business, manufacturing products, selling goods and managing money, materials and people. In all these activities records and archives are an essential element but not the primary reason for the undertaking of the activity. Since activities generate information, this information must be organised and managed and it is this that has resulted in the rise and establishment of the discipline of records management and archives administration.

2.2 Records and Archives

The distinctions that today we make between records and archives have not always existed nor can they be said to have universal applicability and acceptability. There is a wide variety of views as to what constitutes information, records and archives. The word "archives" has its origins in ancient Greece where as "archeion" it was used to refer to government records belonging to an office. Usage has however changed over the centuries and it is nowadays generally used to designate a building or unit within a building where archives are stored, an agency or administrative unit responsible for administering archives and to refer to information that through various processes and qualifications has been identified as constituting archives.

It is however very difficult at times to distinguish between records and archives. In the United Kingdom and in several countries that at one time or other were under British colonial domination, records is used to refer to what in such countries as the United States would be known as archives. Thus in the United Kingdom the main institution in which central government archives are kept is known as the Public Records Office. In the United States on the other hand the comparative institution is known as

the National Archives and Records Administration, and this is similar to many countries that have what are known as National Archives.

The differences that exist in terminology may seem trifle and artificial but in reality they have an important bearing on the way in which custodians of records and archives and of the archival institutions themselves view their role and responsibilities towards archives. They are differences that in the 1950's and 1960's separated the work and thinking of Hilary Jenkinson from that of Theodore Schellenberg. In chronological, historical and geographical terms they have come to mirror the differences in practice between the traditional archives school of thinking as represented by those with long traditions of record creation and keeping and those in more recently established societies that were created only in the last four or five centuries. They are differences that have determined the definition and scope of archival work and the activities and services that archivists can be expected to perform and provide. In many ways they are central and critical to the gap that now exists between the creators and users of records and archives and the custodians.

To understand the position in which archivists and archival institutions find themselves today it is necessary to briefly discuss the way in which archival practice has developed. The record keepers of Ancient Babylon, Egypt, Greece and Rome did not make the finer distinctions that today are made. As records were created mechanisms for their retention were developed and the practices of records and archives keeping took firm root and eventually spread to other parts of the world. The developments that took place in Europe set the pace of records and archival practice from the period of the Dark Ages, the Barbarian Kingdoms with their dependence on clerics, the role of the monasteries, the carrying of charters by French kings from place to place in the fourteenth and fifteenth centuries, the development of registries, the rise of bureaucracies and the creation of archive schools at Ecole des Chartes and Marburg: all these were landmarks that set and established the broad parameters of records and archives keeping. The decisive event in the development of records and archives practices was however the French Revolution which led to the establishment of a central government archival institution, the enshrinement of the principle of the responsibility of Governments to look after archives and the right of public access to Government records.

In general, as archivists ended the nineteenth century and entered the twentieth, they had established a body of theory and practice to guide them in their activities. Their duties were broadly demarcated and understood, encompassing the acquisition, accessioning, arrangement, description and preservation of archives and the making available of these archives to scholars, researchers and others. The main preoccupation was with the records of central government and of various public institutions such as local authorities. Business archives existed and were often acquired and preserved together with the papers of individuals that were usually referred to as Historical Manuscripts but this was relatively subsidiary to the custodianship of governmental records and archives. Archival work was scholarly, calling for personnel with proven academic backgrounds and a strong sense of history. Archival work did not include involvement with records which were being created and which were in active and semi-active use. It encompassed the rendering of assistance to enable appraisal decisions to be made leading to the transfer of the archives to the archival institution. As records management gained momentum in the twentieth century and records managers began to appear on the scene theirs was seen as obviously a less noble calling which in no way could be compared with the role of archivists.

Clearly the preoccupation was with servicing the needs and requirements of the academic scholars and researchers. While the generators and creators of the records occasionally had need to consult the records and archives, this was on a very <u>small</u> scale. Little was it realised that if the records and archives were there to serve the needs of those who created them then their handling and management had to be related to these needs.

In this study records will be used to denote that information which is current and semi-current use while archives will refer to those records which through some appraisal mechanism have been identified as having a permanent and enduring value and therefore meriting permanent retention. It should be noted that archives are not synonymous with non-current records as the latter refers both to archives and to other records with shorter term value that will after a period of time be disposed of.

3. RECORDS AND ARCHIVES IN DECISION MAKING

3.1 The relevance of records and archives

The relevance, importance, usefulness and necessity for records and archives is universally recognised and accepted. Those whose duty is it to look after records and archives believe in the mission of their work and in the immense responsibility that they have to shoulder as they stand custodian over such a unique and irreplaceable heritage. Those who create the records and archives and use them for the conduct of their business also recognise the importance of records and archives. They recognise that records and archives carry information without which it would not be possible for them to continue with their operations.

The custodians of records and archives have the responsibility to meet the needs of those who would like to use the records and archives. They get to know which records and archives are needed more than others for they are the ones who process the requests for access. The custodians feel that they have a crucial role to play in deciding which records should be retained permanently and which ones should be disposed of. To facilitate access to the records and archives they have created elaborate procedures for accessioning, arranging, describing and preserving records and archives and for granting access. To assess the rate of usage they maintain statistics showing the numbers of people who come to consult the records and archives, and of the quantities and types of materials accessed. They also usually record information relating to the reasons for needing use of the records. If one asks them about their users they are able to tabulate the categories of records used and the purposes for this but when one prods deeper one suddenly realises that all that exists are generalities without much specification.

3.2 Usage of Records and Archives

In response to the question that asked for what purposes and records the archives were used, the following usages were sighted by the custodians of records and archives;

3.2.1. verification of facts
3.2.2. compilation of reports and studies
3.2.3. research
3.2.4. finding of precedent
3.2.5. collection of statistical data

3.2.6. policy formulation, planning and implementation
3.2.7. handling of legal claims
3.2.8. project planning and evaluation
3.2.9. litigation
3.2.10. administration
3.2.11. protection of national interests
3.2.12. documenting of departmental histories
3.2.13. restoration of buildings

Ten institutions felt that the records and archives were used to some extent and the frequency ranged from those who felt that they were used quite frequently to others where it was really all to a very limited extent. Two of the institutions positively said that the records and archives were not used by decision makers while eight institutions were unable to respond to this question. There were others who said that while indeed the records and archives were requested by the ministries and departments they were however not made aware of the purposes for which the records were requested and issued.

3.3 The beneficial use of records and archives

It was evident for the responses that there is to a large extent merely a general idea on the part of the custodians as to what records and archives are used for. Answers such as for current administration, historical purposes, decision making, or for reference purposes were therefore not surprising. This is borne out by the responses received to the question that requested for examples of the way in which records and archives had been used in demonstratably and positively beneficial ways.

Only eleven institutions were able to give significant examples of the way records and archives had been used in a beneficial way for the following purposes:-

3.3.1. in Botswana to prove ownership of disputed lands
3.3.2. in Ireland to create a genealogical data base for use in the tourist industry
3.3.3. in the state of Maine in the United States of America to identify the relative of a person potentially needing a bone marrow transplant
3.3.4. in the province of Ontario in Canada to settle court cases in mining and timber claims and to defend the provinces position in a law suit concerning the takeover of a business
3.3.5. in Western Australia to support cases for minority groups and in court cases relating to

sufferers of asbestosis.

3.3.6. in the Republic of Kiribati to prove ownership of land

3.3.7. in Canada to handle native land claims and for the assessment of redress for Japanese Canadians affected by the actions taken by Canada during World War II

3.3.8. in the Netherlands to award pensions for damages to people persecuted for political reasons during previous regimes and for reconstruction after wars and natural disasters

3.3.9. in Poland for the recultivation of agriculturally important low lands in the mouth of the Vistule River after the Second World War, for the reconstruction of a new hotel on old foundations in the city of Poznan and to render assistance during mining industry catastrophes

3.3.10. in the United States of America to compensate Japanese Americans interned during the Second World War

3.3.11. in Cape Verde for the reconstruction of the old city of Cedade Velha

3.3.12. in Kenya for the purpose of determining constituency boundaries and to determine the tribes and clans that owned the "White Highlands" before and at the time of colonisation

Most of the other institutions could only give generalised examples of how records and archives were used for historical and academic research, local history, genealogy, publication, education, pension, exhibits, promotion of historical and national consciousness and identity, biography, radio and television. Sixteen institutions were unable to respond to the question and thus to give any examples at all. As we shall see later, the inability of the custodians of records and archives to identify the particular and individual needs for their records and archives and to quantify that need has profound consequences on the decision makers ability to use these materials. The inability also to identify particular and outstanding examples of the value and usefulness of archives has implications in terms of the marketing of records and archives as necessary inputs in decision making.

3.4 Adverse consequences of not using records and archives

At times if it difficult to demonstrate the positive value of a product or service, then it may be possible to drive home the message by demonstrating the disastrous consequences of the failure to use that product or service. When the respondents to the first questionnaire were asked

to give examples of instances when there had been disasters which could have been prevented or avoided if records and archives had been used, 36 of the respondents were unable to answer the question in any way. Six were bold enough to declare that no disaster had occurred and yet the truth lies with those who were able to give examples and with the seven institutions which said that they had no information or were not aware of any. The latter is especially important because it is only if archivists can imperially demonstrate the adverse consequences of not using archives that they can begin to make the resource allocation breakthrough that they need.

An examination of seven respondents who gave examples of disasters provides some interesting information.

3.4.1. In Ireland, about 20 years ago some records of title relating to state property were destroyed necessitating the employment of staff to recreate the records of title.

3.4.2. In Zanzibar new research was undertaken on cloves diseases and studies done on the rehabilitation of the ports when these had already been partially done and the information was available in the archives.

3.4.3. In Indonesia floods that occur in new real estates in cities such as Jakarta could have been avoided if past records of city planning and development which are in the National Archives had been consulted.

3.4.4. In the Marshall Islands a fire burned down the government administration building destroying many valuable documents which could not be replaced.

3.4.5. In the Far East the territorial crisis between Thailand, Laos and one of the neighbouring countries could have been averted if archives had been consulted.

3.4.6. In Malaysia the Kuala Lumpur - Seremban Highway was constructed in the 1970's without taking into account the geological unsuitability of the terrain. Major repairs have become frequent and problematic and yet this could have been avoided if geological monographs and other records in the National Archives had been consulted.

3.4.7. In Poland the disastrous effects of the severe inundation of the basin of Oder River in 1984 could have been avoided or minimised if old documentation of anti-flood installations which was available in the National Archives had been used.

The overall picture therefore is that while archivists know that records and archives are used by decision

makers they generally do not know for what purposes they are used. They know that the records are requested and they then come to the conclusion which one of the colleagues succinctly put across as follows:- since "the National Archives is the only official repository for the official records of the government of .....; therefore, the records are used by decision makers".

If however we cannot determine with precision the records and archives that the decision makers are using perhaps we can obtain this information from the decision makers themselves.

3.5 The decision makers view of the relevance of records and archives

Fifty five responses were received in reply to the second questionnaire which was distributed to Government Ministries and Departments to obtain information about the use of records and archives in decision making.

The decision makers by and large seemed to value archives. Asked if they felt that archival institutions merited high priority in the allocation of financial and other resources, 34 said yes and eleven said no. Asked if records and archives played a vital role in their decision making process 35 said yes and eight said no. While however the vast majority said the records and archives were important in decision making a different picture emerged when they were asked to estimate the number of times they used records and archives in different age categories for decision making.

The most important point that emerged was that archives are not very much used in decision making. If a generalisation can be made that in most countries records become archives after some 25 or 30 years, then it would seem that really very few decision makers use archives in decision making. The usage statistics were obviously very rough estimates but in those institutions where accurate figures were available, the overall picture was the same.

3.5.1. Nineteen of the respondents positively did not use records and archives between 15 and 25 years of age.

3.5.2. Fifteen of the respondents positively did not use material over 25 years of age.

3.5.3. Eleven of the respondents positively did not use material between 10 and 15 years of age.

3.5.4. In the Land Office of the Ministry of Law in Singapore usage declined from 6000 times per year in

the 2 to 5 years category and 4000 in the 5 to 10 year category to almost nothing for material older than 10 years.

3.5.5. In the Headquarters of the Ministry of Health in Singapore usage declined from 1200 times per year in the 2 to 5 years category to 240 in the 10 to 15 years category.

3.5.6. In the Ministry of Education in Botswana usage declined from 264 times per year in the 2 to 5 years category to nil in the over 25 years category.

3.5.7. In the Attorney General's Department in Australia usage declined from 13200 times per year in the 2 to 5 years category, 1200 in the 10 to 15 years category to 100 in the over 25 years category.

3.5.8. In the Department of Social Security in Australia usage declined from 13500 times per year in the 2 to 5 years category to 30 in the 15 to 25 years category.

Asked if they used or considered using records and archives when making decisions on budgets, project and development plans and manpower planning only 32 used the records when making budget submissions, 43 for project and development planning and 31 for manpower planning.

While 25 respondents did not feel that blunders or errors had been committed, projects duplicated unnecessarily or the decision making process hampered as many as 17 felt that this had happened. Although it was found difficult to give specific examples it was pointed out that there was duplication of effort among ministries and departments, that there were cases where surveys were mounted when the data had been collected and already existed in other departments, that court cases had given verdicts at variance with early decisions or without taking cognisance of earlier decisions. Thirty nine of the respondents were making use of records centre and archives facilities and had deposited some of their records.

3.6 Decision making

Before examining records management and archives concepts as they relate to decision makers it is also necessary to look at the decision making process in order to identify the information that is needed.

It is basic knowledge that there are many governmental systems in the world ranging from countries that are run by Monarchies to those that are under Prime Ministers or Executive Presidents. While one can talk of democracies, autocracies, dictatorships, capitalism, socialism and

communism each of these concepts has its own variations and peculiarities that make generalisation difficult and unwise. Within these confines however it is still possible to isolate certain common features.

In virtually all cases there will be on one hand the rulers and the political figures who wield power, make the decisions and strive in one way or another to fulfil the wishes of the governed. There will also on the other hand be the bureaucracy or civil service, the relatively permanent and stable corp of workers that is there to execute the policies and wishes of the rulers. The relationship between the two groups will of course differ from country to country, region to region and from continent to continent but at the end of it all records and archives are being produced and used whatever the system.

There is generally a mechanism for the formulation of the rules, regulations and laws that must guide and govern the conduct of the citizens or the ruled. These will be formulated in fora such as Parliaments where the civil servants still play an important role in the formulation of policy, in researching and designing programmes and in providing answers to the plethora of questions that may be raised. In the Western World the role of the civil servant in decision making is best exemplified by the comedy "Yes Minister".

The politicians or rulers usually have core groupings that meet to decide on important issues. Whether these bodies are referred to as Politburo or Cabinet nevertheless the civil servants provide a back-up service by providing the information that is required in the making of decisions.

The decisions are made at different levels of the organisation. It is fairly obvious that the lower down the organisation one goes the lower the level of decision that must be made and in reverse, the higher that one goes the higher the level of decision. Irrespective of the level however information will be required in one way or another. The births registration clerk will need proof of date of birth and parentage in order to issue a birth certificate. A doctor in a hospital will need certain information in order to decide on the illness and prescribe requisite medication. The immigration officer will need information in order to issue a passport or grant a visa. The senior economists in the Ministry of Finance will require certain information to produce the short, medium and long term economic plans for the country. The Permanent Secretary in

the Ministry will require certain information in order to prepare his Minister for the Cabinet meeting or to address a certain forum. In all spheres of activity decisions are being made about the allocation of budgetary resources, the prioritisation of programmes, the granting of social benefits, the opening of new mines, the closure of unproductive ventures, the information to release to the public or the level of classification that certain information requires.

Records and archives provide the information that is required by those who make the decisions. The question only is whether these records are available to these decision makers and whether the decision makers are aware of their existence and thus make use of them when making decisions.

4. RECORDS MANAGEMENT

4.1 Introduction

Records management is a relatively new discipline whose beginnings can be traced to the early years of the twentieth century and which only firmly established itself in the post Second World War period. Records management is concerned with the generation, receipt, processing, storage, retrieval, distribution, usage and retirement of records. It encompasses a wide variety of activities and sub-disciplines each of which has arisen to cater for a specific need such as the management of mail, correspondence, reports, copies, forms and directives. Records management is multi-media embracing many types of media from paper, to audio tape, video tape, magnetic tape, magnetic disk, optical disk and microfilm.

While records management as a distinct discipline is a twentieth century phenomena, the generation and handling of records has of course been in existence since records themselves began to be created in Ancient times. Records are created in the transactional processes of Government as laws are made, budgets prepared, surveys conducted, reports made, instructions formulated and issued, letter received, responses given to inquiries, statistics compiled, staff recruited, promoted, demoted and retired, births, marriages and deaths registered, taxes and other dues levied, economic plans formulated, licences issued, nurseries and schools built, certificates of educational attainment issued and as various governmental processes are carried out.

Records exist primarily because of the need to keep a record of transactions carried out. The process by which they are created, the manner of their creation, the way in which they are handled will differ from institution to institution, from country to country and from one geographical region to the next. The methods of handling records have also undergone changes over time from the days of the registry system in early Modern Europe when all items were entered in registers on being received to today's situation in which mail can be electronically controlled. It is difficult to describe records management on a world wide basis because records management practices are closely tied to the peculiarities of Governmental and institutional processes which differ from country to country and from region to region. There are however certain core practices on which a degree of generalisation can be made within the limitations mentioned above.

No Government can function without records. If the records exist and they are not well managed it is equally difficult to achieve efficiency. The level of efficiency of the operations of the governmental machinery is closely tied to the effectiveness of the records management programme. Records management encompasses several main elements.

4.2 Filing systems

As mail is received and as records are generated internally within an organisation there must be a mechanism for handling them. The mail must be sorted. It must be filed so that related items and subjects are brought together in order that they can be dealt with, put away after actioning and retrieved when required. If the records are misfiled, or if related subjects are separated it becomes impossible to respond to inquiries or to make the decisions required. Outgoing correspondence as well as a great deal of documentation produced for internal circulation and usage is made in multiple copies the most common being the one plus two copies configuration in which the top copy is sent out and the two bottom copies are retained for the records. Of the latter one copy is usually put on the relevant file while the third copy is put on the what has become commonly known as the running file.

For the records to be grouped together however it implies that there is a filing system which facilitates this grouping together. To begin with the filing system must have a coherent structure that enables broad distinctions to be made in very much the same way that someone going to a library is directed from the broad to the specific i.e. he is able at the broadest to distinguish between the main subjects of science and the humanities is led to the more specific distinction between geography and history and in approaching the shelves with the history books is able to distinguish between books on Ancient history and those on Medieval or Modern history, and between the history of Africa and that of Asia. The filing systems whether they are numeric, alphabetic, alpha-numeric or geographic aim basically at leading the person to the specific file in which the subject material is to be found. In a commercial organisation the broad distinctions would separate the main activities of finance from marketing, general administration, production and human resource management. In human resource management there would then for instance be sub-divisions into personnel management and training.

Once a filing system is in place, that filing system must be used to facilitate the government process. It must enable information to be rapidly processed and distributed to those who must see it. The file titles must be meaningful and accurate enabling those who must file the information as well as those who must use the information to find with ease the information that is required. Whether the filing system is manual or automated the need for accurate filing is not diminished. In Government, decision makers rely on being able to receive information timeously so that they can respond to the issues and so that decisions can be made. And yet we find that the Governmental process is often hampered because of the following problems.

4.2.1. The system for processing incoming and outgoing information becomes cumbersome and unweildly. It takes a long time before information reaches those who must have it. Officials sometimes find themselves attending meetings or responding to inquiries with only partial information available or come back from meetings only to find that the information they had needed for the meeting is now on their desk, and to all intents and purposes useless for what it was required for.

4.2.2 The filing system can become so difficult that officials spend time chasing information that cannot be located. The file structure might have become inadequate with illogical file divisions and inaccurate file titles. Everyone will remember that the information did come in or was generated but no one knows where it was subsequently filed.

4.2.3. Files required by more than one official at the same time can pose problems. If the distribution and circulation controls are weak it becomes difficult to identify who in the first place has the file and secondly to give several officials access to the same file at the same time. And yet fragmentation of the file may not be possible or may lead to an incomplete aggregation of the information required to make sound and meaningful decisions on the particular issue.

A basic requirement for sound governmental administration is therefore that all decisions must be made on the basis of utilising or consulting all known and available information. Without access to all the information the decision making process becomes impaired.

4.3 Records storage

Once information has been processed, distributed and used, it must then be stored for future use. In a manual

records system that information is then stored in some filing units such as filing cabinets while in an automated system it is then stored on magnetic tape or disk. The information is however not stored for the sake of storage. It is stored on the premise that it is still needed and it is in this respect that serious problems can arise.

A basic principle of records management is that information should be distinguished and separated as it moves through three distinct phases of its life cycle. At its creation and through its active usage, the records are said to be current. As their rate of usage declines from the frequent to the infrequent, they move on to the semi-current phase and from there on to the non-current stage. In the latter stage a decision has to be made as to whether or not the records should be disposed of. A mistake is often made by equating non-current records to archives because the two are definitely not equivalent. The various stages of the life-cycle of records should also be distinguished by differences in where the records are to be found. During the current stage the records are kept in the office or registry where they can be accessed with ease as required. As the records become semi-current they should then be retired from the office and registry into some storage area. In general the first point they are moved to is the storeroom or strongroom within the premises of the creating agency and from there they are then transferred to a Records Centre. The retirement of information from active to semi-active use is however full of its own problems and it is quite often this point that is critical in the life-cycle of a record.

4.4 Records storerooms

many people pay attention to the transfer of records from the creating agency to the Records Centre without realising that there is the grey area of the storeroom and strongroom, a transitional period in which control can be lost altogether. It is unrealistic to expect that records can be transferred direct from the registry to the Records Centre, especially in those cases where the Records Centre is not part of the creating agency or it is physically located some distance away from the creating agency. Where this in fact happens without the use of an in-house storeroom or strongroom it only means that the records will be retained in the office and registry well beyond their active or current life. Many archival institutions indicated that records were retained in the creating agencies until they were some 15 to 25 years of age.

The transfer of records from the office and registry is however often unsystematic and uncontrolled. It is little realised that there are certain preconditions to this activity. To begin with, as with all record movements and transfers, there must be a mechanism for identifying what has been moved and to where it has been moved. In most instances records are merely dumped in the storeroom without any controls at all. The result is that once in the storeroom or strongroom it becomes a nightmare to try and retrieve any of the records and it is this loss of control and the difficulties of retrieval that make most people reluctant to transfer records from the office or registry.

There are two basic requirements for the transfer of records from the office to the storeroom. In the first instance a records transfer or transmittal list must be used to record details of the records being transferred and of the new location or storage area and position where they are to be found. The second requirement is that the storeroom must be organised and arranged.

4.4.1. It is essential that some form of shelving be used to facilitate storage. If there is no shelving it becomes difficult to locate the records required.

4.4.2. It is also necessary that the shelves be numbered in one way or another. In this respect, there are two main methods that can be used.

4.4.2.1. One way is to extend the office or registry filing systems into the storeroom so that if for instance it is an alpha-numeric system then the same alpha-numeric arrangement is found in the storeroom. In this way a file that is no longer in the filing cabinet in the office or registry is found in the equivalent position in the storeroom.

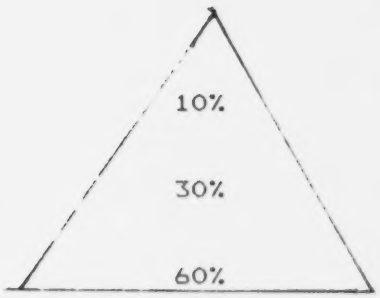
4.4.2.2. The above storeroom arrangement can however pose problems in that it is difficult to forecast the rate of expansion or accumulation of certain records series. To overcome this problem a location system can be used where the storeroom shelves are merely numbered sequentially and records shelved in the order in which they are retired and put on the shelves. The position of the records on the shelves is then recorded on the records transfer or transmittal list which becomes the primary instrument for the location of records. This indirect access system overcomes many problems and is simple to use even when some of the records are destroyed and shelf vacancies arise. It is the system that is used in most

Records Centres.

4.5 Records retirement

The main problem that is faced however is knowing at what point to retire records from the office or registry to the storeroom or strongroom. The surest mechanism is the assessment of the rate of usage of the file and thus determining the point at which the rate has declined from the frequent to the occasional. This rate can be assessed by looking at the out cards or the mark-out books or whichever will be the system that is used to control the movement and issuance of the records to the users. Research has shown that the active life of any given records is a relatively short one which some estimate to be no more than 90 days. It is however not possible to move records from current to semi-current status using this period as a yardstick simply because these records are filed together and cannot thus be separated on this basis.

For those who are unable to determine the rate of usage of records a second method is the periodic examination of the files to determine the date when last something was put on the file. While this may seem a rough and ready measure it can be used as a reasonably accurate way of retiring records from active to semi active use. In a manual system dominated by use of conventional A4 file folders it is usually possible to discern the following pattern of file activity. At one end there are very active files on which material is regularly received and filed. Such files become full very quickly and require that they be closed. Such files do not pose any problems for they literally close themselves. The problem comes with inactive or thin files on which nothing happens for inordinately long periods of time. Because the files are there and often neat looking, since they are not in much use, the files do not bother anyone and are just left to stay in the cabinets. Such files can be seen to follow a triangular pattern of activity with the majority of the documentation relating to the initial period in which the files were opened.



Typical profile of inactive files.

That they have remained open for such a long period is nothing but a reflection of their inactivity because if they had been active they would have filled up and been closed. The reasons why this happens are many including the discontinuance of the subject and the occasional receiving of a related inquiry. It could also be because the file title is not accurate and therefore related material is finding its way to other files or it could be that the subject has through time changed and new files have along the way been opened to cater for the other material. Whatever the reason it can be seen that such files need to be dealt with and retired accordingly.

The retirement of records from the office or registry to the storeroom or strongroom is an absolute must for the better functioning of any records system. Unless it is done the system becomes burdened and over loaded by information that should not be there. The removal and retirement of this information and its eventual transfer to Records Centres is the pivotal justification behind the Records Centre concept which aims at unburdening offices and registries by receiving and storing in lowcost storage areas records that would otherwise be stored in expensive office accommodation and even more expensive filing equipment. The retention of semi-current and non-current records in offices and registries slows down the rate of retrieval of information. A guiding principle in retrieval is that the more the number of items that must be retrieved from the slower the rate of retrieval. Put simply, it is faster to retrieve a file from a cabinet that has fifteen files than it is to retrieve a file from a cabinet with one hundred and fifty files. Equally it is faster to retrieve from two filing cabinets than from fifty.

The retirement of records from the office and registry to the storeroom or strongroom has important implications

for the decision makers. If the transfers are done systematically with appropriate and requisite controls and documentation, then there is no period during which decision makers find difficulties in retrieving information that is needed. The use of such tools as transfer/transmittal lists also means that information is available on what was transferred and is in the storeroom, on what has subsequently been disposed of and on what has been transferred to the Records Centre. The transfer/transmittal lists also serve as the basis for the making of disposal - retention decisions since they will identify and isolate the records coming out of active use thereby requiring decisions as to their disposal or retention. While the disposal and retention of records should be controlled by the archival authority in the country to ensure that records with archival value are identified and preserved, it is nevertheless necessary that after such consultation, mechanisms be introduced for the automatic disposal at creating agency level of records that have outlived their usefulness. it is futile and wasteful to retain records whose usefulness will have expired. There is no sense for instance in transferring to a Records centre running or 3rd copy files or of sending messenger delivery books.

The point that has repeatedly been emphasised above is that it is necessary to have a transitional period between active use and storage of records in offices and registries and their transfer to Records Centres. In this transitional period the records should be transferred and kept in storerooms and strongrooms within the premises of the record creating agency. During this period, the archivist must of course have an interest to ensure that no unauthorised destruction takes place and to ensure that the records are organised in a way that will make transfer to the Records centre easy. It is interesting to note that of those archival institutions that indicated involvement in the management of semi-current records, 35 said that they had control over records being stored in the strongrooms and storerooms of the creating agencies. Thirty one responded in the negative on this point.

4.6 Archivist and records management

Debate has over the decades raged fiercely over the extent to which archivists should be involved in records management. At one end there are the traditional archivists who argue that records management is for records managers, that it is a distinct and separate discipline far removed from archival work and that it is negligence of the highest

degree to seek to extend the role of the archivist to embrace the management of current and semi-current records when the archivist is barely able to undertake adequately the traditional and accepted duties of acquiring, processing and preserving archives and servicing the needs of the users. This view has tended to be more typical of those societies with long histories of archive keeping and where perhaps the functions of the archivists have been defined and isolated over many generations.

This view however is countered by those who argue equally fiercely that the quality of archives is crucially dependent on the way in which the records have been managed during the current and semi-current stages. They argue that a passive role on the part of the archivists is counter productive and that it is useless to wait for nature to take its toll because by the time the archives reach the archivists, if at all they do, they will have been so damaged and mutilated that the archivist can no longer really play a meaningful role. They see the involvement of the archivist in records management as a natural extension of his role and duties. Within this group however there is also a wide spectre and divergence of views in terms of the actual extent of the involvement. On one hand there are those who have come to accept involvement but only to the extent that semi-current records are the concern of the archivist who should thus provide Records Centre facilities. Even in this respect there will be the difference between those who use the Records Centre to act as a filtration plant under the full control of the archivist and others who merely provide Records Centre facilities as a means of providing storage space only. The example of the limbo repositories in the United Kingdom is pertinent because the records while stored there are still administered by the staff of the creating agency. There are yet others who see the involvement extending to the creation and generation of the records to the filing systems and filing equipment, the receipt and processing of mail, the circulation of information, the design of forms and the control of copies.

The fierceness of the controversy over the involvement of archivists in the management of current records can thus be seen when viewed against this background. And yet a surprisingly high number of archival institutions are now involved in this area. Forty two institutions indicated that they were involved in the management of current records. Forty two institutions, as opposed to only nine felt that such involvement was a legitimate pursuit of their institutions. An even greater number, fifty nine,

were involved in the management of semi-current records compared to only seven who were not. In the area of current records management it was interesting to note the responses in terms of the actual extent of involvement.

ACTIVITY	YES	NO
Involvement in the design of filing systems.	28	33
Involvement in the recruitment of records personnel for ministries and departments	10	50
Involvement in the training of records personnel in ministries and departments	39	24
Involvement in the purchasing of filing equipment for ministries and departments	39	49

The responses above show clearly that archivists have over the years extended their involvement in the management of current records. While some institutions qualified their response by saying that they did so when requested, it is nevertheless significant that they were able to assist which implies that they have developed the capacity to assist. That capacity could only have been built up by either employing records managers or people with records management experience or training archivists and giving them the necessary expertise.

4.7 Records Centres

After records have been in the storerooms and strongrooms of the records creating agency for a period of time, when such formalities as audit have been done and when the rate of usage has declined from the occasional to the once in a blue moon, then the records should be transferred to a Records Centre. It goes without saying that Records Centres are not there to store records which are still required by the creating agency on a rather frequent basis.

The Records Centre concept is a self-justifying one. Office accommodation generally outstrips the ability of offices, registries and storerooms to store records and yet the records are required for varying reasons and varying periods of time and need to be retained for some time. In

these circumstances it becomes necessary to provide a Records Centre. The Records Centre can be there to serve the in-house needs of a single and specific organisation or it can be created in order to meet the needs of several records creating agencies. There are certain basic concepts related to Records Centres.

4.7.1. They are built away from city centres in areas where land is relatively cheap.

4.7.2. They are situated in areas where there is minimal atmospheric pollution.

4.7.3. They utilise high density shelving in order to maximise floor area usage and lower storage costs.

4.7.4. They provide secure accommodation for records, protecting them from dust, dirt, heat, humidity and sunlight.

4.7.5. They provide access facilities enabling depositors to request and use the records as need arises.

4.7.6. They are also able to act as filtration plants, enabling records of an ephemeral and short term value to be identified and disposed of and those of a permanent and enduring value to be protected and preserved.

The extent of involvement of archival institutions in the management of semi-current records differs widely as the responses below show.

ACTIVITY	YES	NO
Conducting records surveys	47	20
Involvement in records appraisal	51	15
Involvement in the scheduling and disposal of records	47	17
Control over the destruction of records of ministries and departments	58	9
Ability to compel ministries and depts. to transfer records to the Records Centre	41	24
Provision of Records Centre facilities	32	34

4.8 Records appraisal

Records Centres enable a number of processes to be carried out on records. One of the most basic and fundamental principles of managing records is that each

record must have a clearly identified and specified destination. The absence of such specification is the equivalent of boarding a bus or train without an identifiable destination. All records must be appraised to determine the duration of their value. The appraisal process examines both their primary and secondary values and takes into consideration a multiplicity of factors ranging from their usefulness to the creating agency, the necessities of fulfilling various requirements of a legal or financial nature to their usefulness to researchers and others. Records appraisal is an absolute necessity and out of it should emerge a clear set of standing instructions for continuing series of records that enable such records to be dealt with in the manner specified. Records appraisal is a complex process with many far reaching implications and there must be a mechanism that ensures that as many factors and requirements as possible are brought into consideration before decisions are reached. The primary instrument for doing this is usually a Records Committee which brings together people from different levels and sectoral interests and includes representatives of the creating agencies and of the archival institution.

Decision making is partially based on precedent. Precedent is contained in the records of past transactions. It is however often difficult to determine in advance those records which contain precedents that will be useful at a later stage. For this reason it is important to have a properly constituted appraisal system as this is the only way in which decision makers can be assured that records are disposed of after the most thorough consideration. The absence of an appraisal mechanism has serious adverse consequences on the decision making process. Even in the best of circumstances it has always been difficult to decide what constitutes a record copy. It is also difficult to decide if various drafts of a report for instance should be kept or only the final copy. Uncontrolled disposal results in the destruction of records which may have been of paramount value at a later stage.

Deposit of records at a Records Centre facilitates the appraisal process. Not only does the Records Centre ensure that appraisal is done, but the transfer of the records leads to their listing and description which is an essential part of the appraisal process. In an automated Records Centre system, there is also an important off spill.

The system may be able to identify records of a similar nature or subject that have previously been

deposited or it can show the absence of similar records and therefore point to the need to retain such records. The system can also have far reaching implications for the decision makers. One of the greatest difficulties for the decision makers is to know if relevant information exists or is held by other ministries or departments. The magnitude of this problem can be appreciated if it is realised that even within the same ministry or department it is not always easy to obtain access to the records of other units. Petty jealousies as well as fierce competition often results in restrictions on the availability of information. At a higher level ministries and departments are often in competition with each other, vying to be seen to be the most innovative and to get credit and recognition for undertaking certain projects. While, indeed, depending on the political systems, there is an exchange of information at for instance Cabinet level, nevertheless each ministry and department wants to justify its existence and to secure a larger allocation of the available resources. In these circumstances information must be strictly guarded and thus to a large extent those operating in other ministries have little access to much needed information.

4.9 Access to records in Records Centres

When records from different ministries and departments are deposited in a Records Centre there will be an aggregation of records from various creating agencies. A cardinal principle of Records Centre management is that the records that are in the Records Centre remain confidential and exclusive to the depositing agency. This is as it should be. There are even cases where this is taken to unfortunate extremes with such records remaining the property of the depositors who are thus free, for instance, to withdraw the records permanently. Whatever the situation however the Records Centre provides a unique opportunity for decision makers to widen their decision making base. Whether in a manual or automated Records Centre System the records transfer lists will be there to show which other records have been deposited. In an automated Records Centre System it becomes easy to locate relevant records which exist in other ministries and departments. Such a facility should be made available to all decision makers with the important provision and restriction that when records are located access is not directly given by the Records Centre but that those then seeking access are directed to the relevant creating agency to obtain permission.

It can be seen therefore that a systematic records retirement system and the deposit of records in Records Centres is important to the decision making process. The problem that seems to exist at the moment is that the mechanisms for facilitating the decision makers access to such information are to a large extent non-existent. To begin with, as noted previously thirty-four of the respondents did not even have Records Centre facilities and even more importantly those who had did not have facilities to publicise the existence of such information to those decision makers who had need for it.

A key service that Records Centres should provide is enhanced access by decision makers to information contained in records and archives. In most instances the main instrument by which records creating agencies know what has been transferred to the Records Centre or Archives is the copies of records transfer lists which are retained by their own registries. Forty six institutions indicated that there was easy access in the record creating agencies to the records transfer lists while sixteen institutions indicated in the negative. It was also interesting to note that only nineteen institutions with Records Centres were able to affirm that they had facilities that enabled decision makers in the ministries and departments to know what material had been deposited by other ministries and departments in the Records Centre. Thirty six institutions did not have such facilities meaning that decision makers by and large had access only to those records that they themselves had created. Computerisation of the finding aids is of course a pre-requisite for the facilitation and widening of access to records and archives. And yet only eighteen institutions had automated or begun to automate their finding aids. Forty seven institutions had not. This situation is obviously most unsatisfactory especially when viewed against the cost of Information Technology that has significantly come down in the past ten year. When businessmen today can afford to travel on an aeroplane with a portable Personal Computer, there is no real reason why archival institutions should not embrace the modern technology and begin the process of automating the finding aids. It is accepted that the information to be input requires a large disk or tape storage capacity but it should be possible to make a start somewhere even if that is by automating the indexes to the descriptive lists or by inputting summaries of titles of the records held.

To the decision makers the message is simple. The Records Centres contain a massive wealth of information which is needed in decision making. This information is at

the moment by and large inaccessible and this has impaired the decision making process leading to decisions based on incomplete information or to the duplication of effort. The Records Centres need to be encouraged to facilitate access by decision makers to this information and they need to be allocated the resources to enable them to modernise their facilities and thus improve access. Any such investment would cost justify itself in terms of savings that will be made as for instance duplication of effort is reduced or eliminated and as costly errors are avoided. Some of the consequences of failure to access required information have already been demonstrated.

It has become generally acknowledged at various international forums that the greatest need in providing information to decision makers is affording access to the wealth of unpublished and inaccessible information that is contained in Records Centres and Archives. Published information as is found in books, periodicals and articles is readily available thanks to the librarians who have developed sophisticated methods and infrastructures for the dissemination of this information. Today it is easy and basic routine to identify all publications that have been produced in a given country. Bibliographies, indexes and abstracts have ensured that the availability of information is publicized to the fullest extent. It is relatively easy even to trace publications that were produced many years previously, to identify where they were published and to check if such publications are still in print.

That is not so with the unpublished information held in Records Centres. As has already been indicated, not only are Ministries and departments unaware of what information other ministries and departments have produced but even within the same ministries and departments there is often little knowledge of who has what information, and of what is held in the offices, registries, records storerooms and Records Centres.

5. ARCHIVES

5.1 Provenance and sanctity of the original order

When records have been appraised and found to have a permanent and enduring value they gain a new status as archives. The criteria by which they are accorded this status as well as the point at which they reach this status will vary widely according to the particular circumstances of that institution or of that country. There are also many variations as well as differences of opinion as to how these archives should be brought into the institution, processed, preserved and made available to the users.

Since the end of the eighteenth century and until the relatively recent times of the post Second World War period, there have been two guiding principles that have been universally acknowledged and applied. In the first instance archives were created by distinct entities in the natural course of conducting their business. The archives were thus related to the functions as well as the organisational units and activities of that entity. To this extent the archives could only be understood in the context of each other in so far as the minutes of meetings were related to the directives that were subsequently issued or the manner in which inquiries were dealt with. To understand the directives that were issued reference needed to be made to the minutes that gave rise to them. On the other hand these minutes were unique to this entity in spite of the fact that they could exist in multiple copies. Their uniqueness arose out of the sequence in which they were to be found within that entity and the related documentation that was generated by the entity at the time. To understand the position taken by certain officials at the meeting, or why the decisions made at the meeting were only half heartedly endorsed it would be necessary to relate the minutes to the other documentation of that entity. If these minutes were mixed up with the documentation of other units their significance was lost and it became virtually impossible to relate them to the entity that created them. To do this was, in over simplistic terms, the equivalent of tearing the third chapters of ten books, aggregating them and asking people to make sense out of them.

The rise of the principle of provenance or in its better known terminology *respect des fonds* was in answer to this problem and it was first enunciated by the French archivist *de Wailly* in the mid 19th Century. By this principle records of a distinct and separate entity were

meant to be kept together as this was the only way in which the structure and functioning of that entity could be understandable. The need to keep records of one entity together led to another aspect which with time and with the ever increasing pace of record and archive generation began to cause problems. For some archivists, adhering to the principle of provenance implied describing the archives of an entity together as well as shelving or storing them together as a unit. While the description of the archives did not pose many problems, storage was a different proposition as it was very difficult to forecast the rate at which the records of certain entities were going to accumulate and therefore the amount of space that would be required in the repository to adequately cater for the records. In the 1960's and 1970's some institutions notably the national archival institutions of Australia and Rhodesia abandoned the second part of this principle preferring instead to maintain the unity of the archive generating entities by aggregating all the records of that particular entity in the finding aids but shelving the records at series level in terms of their accessioning sequence. The result was that while records of the same entity were grouped together in the finding aids, they were however stored at different locations in the repository. This departure from established practice stirred a great deal of controversy especially in the late 1950's and in the following decade.

The principle of provenance had a natural sequel. If archives could only be interpreted and understood in the context of the entities that created them, then their further interpretation depended on being able to establish the way in which they were created and organised. The archives of a particular entity were related to each other by the way in which they had been organised when they were created. The archives had an organic character and archivists therefore needed to structure the archives in their custody according to this original order. It is in this way that the principle of the sanctity of the original order was born and adhered to. In the post Second World War period there have been various modifications to the above principles to meet particular needs and requirements but to a large extent, whatever variations have been introduced have never completely nullified these principles. It is them that mainly determine the manner in which archives are arranged and described.

5.2 Acquisition

A basic duty of the archivist is the acquisition of

archives. In certain circumstances that acquisition process starts at the time that the archivist involves himself in the management of current and semi-current records for it is at that point that decisions are being made as to how the records will be organised, what will be destroyed, at what point it will be destroyed, and what will be retained permanently as archives. While opinions will differ, and indeed accusations have been made that some records managers want to usurp archival functions and vice-versa, it would still seem that archives that are the residue of a planned and systematic records management process are bound to be of an enhanced quality in comparison with those that have survived by accident rather than by design. When the archivist plays no role in the current and semi-current stage of the records he places himself in a passive role in which he waits for the archives to be sent to him or conducts the records surveys periodically to determine what should be given archives status. The danger in this is that by the time the archives reach the archival institution irreparable and irreversible harm may already have been done and this is especially true of machine readable records. While 31 respondents to the second questionnaire felt that they were satisfied with the way in which their records were being handled in their institutions, fourteen indicated that there were shortcomings and that damage to records may be occurring. Several of those who answered in the affirmative on this point felt it necessary to qualify their response by adding that they thought that the records were being satisfactorily handled given the situation and the constraints that existed.

There are also some archives that do not get transferred to the archival institutions. Quite often records of Deeds Registries or of the Registrar of Companies remain extant in the departments themselves as long as the properties or companies to which they relate remain in existence. Such retention by the ministries and departments should however still be in liaison with the archival institution that should have the ability to oversee the welfare of such archives. Where these records have been automated, it should be a requirement that a master tape be transferred and stored in the archival institution.

The necessity of retaining archives in ministries and departments should however be minimised. The overriding consideration should be the extent to which they are still required for the fulfilment of the functions of that organ. Their continued retention also often poses serious problems

especially since those who retain them do not appreciate their archival value. And yet the responses to the two questionnaires brought out clearly that a good proportion of archives were still held by the creating agencies or that transfer to the archives took place very late.

Assuming that the archives have in one way or another survived to reach the archival institution then the archives must be processed, stored, preserved and made accessible. This involves various techniques which while acquiring certain peculiarities in specific institutions and societies nevertheless have broadly recognisable general characteristics.

5.3 Accessioning

The archives must in the first instance be accessioned. There are various methods of accessioning but the basics are the same. Accessioning is the process of receiving archives and bringing them into the repository. At one end it requires that the physical condition be ascertained, that issues requiring urgent attention be attended to such as in those circumstances where the physical condition is very poor or critical, that where there is infestation of some sort, such as with lice, that fumigation be carried out to avoid transferring into the archives storage area those very enemies of the archives. It is also required that a record be created of the archives to reflect the details of the archives received. Whether such details are carried in an accession register or by some other means, the essential details will include the provenance of the archives, some description and indication of content, a quantification of the volume, an indication of the period covered, details of access conditions and of the storage location. Where the archives are not immediately processed there may be an indication of the processing priority. In many cases the archives are held in a holding area pending their detailed arrangement and description but practices here will differ dependent to some degree on the extent of the processing backlog. The importance of accessioning is evident. If access to the archives should be required in this interim period then at least the whereabouts of the archives are known and they can be retrieved and made available. For decision makers this is an important requirement for they cannot afford at any time to lose contact with the archives. On the part of the archivist, it is equally essential that the archives be speedily processed to facilitate archives. Without exception if archives must for a period be stored before arrangement and description then a mechanism for making the

presence of these archives known to the users must be available.

5.4 Arrangement and description

The pillars of archival work are the arrangement and description of the archives. The principles of arrangement and description are the subject of numerous studies, guides and manuals. The methods themselves have metamorphosed with time from the detailed calendaring of the early modern period in Europe to the broad series summarisations and descriptions that have become characteristic of modern archives. The arrangement of archives in general follows the principles of provenance and the sanctity of the original order that have already been discussed. Common archival practice sees the archives in the first instance being arranged according to the creating entity whose history is often catalogued as a way of showing the manner in which the archives were created and accumulated. The ministry or departmental histories can be very useful to decision makers many of whom are quite often unaware of the way in which the ministry or agency has developed. They also explain the inconsistencies and contradictions that may be encountered in the archives and also lead the way to certain archives that may have a relevance. To a large extent, such a facility would not exist in the ministries and departments and it is one way in which archival services provide a superior information service to decision makers.

The arrangement of the archives then seeks to group them, in the case of Government and local authority agencies in terms of their parent ministries, then according to their specific departments and actual units. The question of arrangement also borders on the question of series, raising the necessity to identify series of records so that at a later stage records of the same series can be brought together.

After arrangement the next task is that of describing the archives. Archival description is a complex task fraught with many difficulties. When the rate of production of information was small the quantity of archives to be handled was also small. In Medieval Europe and early modern times it was therefore possible to describe the archives in great detail. Through the process of calendaring, detailed summaries of the archives were given. However, as the rate of creating information increased and larger quantities of archives were received it became impractical to describe the records in detail.

Broad summary descriptions were increasingly given, dealing with the archives at series level rather than at the level of the individual file. Some archival institutions faced with the unpalatable need to abandon calendaring techniques adopted the compromise position where they described public archives at the series level but continued to give detailed summaries of private archives or what were termed historical manuscripts.

The process of description is essentially a mechanism to enable users to identify the archives held and in particular to locate those that they need. Description is closely related to the method of arrangement and its format depends on the way in which the records are held. In very broad terms however archival description identifies the archive type in terms of whether it is correspondence, memoranda, reports or minutes. It then gives some indication of the format of the archives showing whether they are in manuscript, typed or on magnetic media. The description attempts to quantify the records so that users have an idea of the volume that they have to contend with. There are also other items that are normally part of the description process and these include an indication of the period to which the archives relate, a summary of the content and where it has been necessary to restructure the archives because the original order could not be reestablished, this is also indicated.

5.5 Access

After the records have been described the next step is to index them in order to facilitate user access. The process of indexing is itself a time consuming exercise but it is essential because many users do not know where to find the information that they want. Even in those cases where they may have some idea they would still find it difficult to find out where other relevant information may be found. In indexing, the archivist is able to provide that ultimate service to the user in so far as all archives relating to a particular subject are brought together enabling a user to access the multiple sources that exist. The decision maker thus is able to access archives generated by different ministries and departments and to identify for instance relevant projects that may have been carried out by others beside his own ministry or department. To this extent duplication of effort can be eliminated while better quality decisions can be reached based on a consultation of all the available archival sources.

As has already been shown however decision makers are not making full use of the archival potential that exists. Estimates that were given of the numbers of decision makers that used archives in relation to the total users of archives were very low.

5.5.1 Thirty six institutions were able to approximate the number of decision makers who used archives in relation to all the users. Their estimates ranged from 0,05 to 100%. Further analysis showed the following:

5.5.1.1 In seven institutions the decision makers were one percent and under.

5.5.1.2 In eighteen institutions the percentage was between one and ten percent.

5.5.1.3 In eight institutions it was between ten and fifty percent.

5.5.1.4 Two institutions reported very high usage rates. In the Karnataka State Archives of India it was estimated to be 85% while in the Centro de Informacion Documenta de Archivos in Madrid it was 100%.

5.5.1.5 The Australian Archives was the only one able to give more precise information quantifying it as 17% of all inquiries, 13% of all visits and 57% of all items issued in the Search Room.

5.5.1.6 In many of the institutions, it was a question that was difficult to answer, and institutions reported that they did not keep such statistics, were not able to quantify or found it very difficult to assess. The Riksarkivet in Norway responded in the ultimate by saying that it was "impossible to answer".

And yet the quantification of the use of archives by decision makers is important. It is an accepted principle in archives that generally archives exist to serve other than the needs of those that created them in the first place.

If the approximations given above are anything to go by it is clear that decision makers form a very small proportion of those that use the archives. Twenty five of the institutions approximated them to be less than 10% while several others, unable to quantify, nevertheless reported the numbers to be tiny, very small or negligible.

Does this mean that archives by and large are of no relevance to the decision makers.? As reported earlier the decision makers themselves clearly indicated that they did not really use those records that normally are in the archives, i.e. those that are over 25 years old.

The answer perhaps lies in two areas. To begin with the real reason that decision makers do not use archives is because they are unaware of the information that is contained in the archives. There probably are many instances when decision makers fumble and search in vain for required information without knowing that the information is readily available in the archives. By their very nature, archival institutions tend to be located away from the busy inner cities with their attendant atmospheric pollutions. The archival institutions therefore are often located in the serene and pollution free environments far away from the record creating agencies. Decision makers therefore dismiss the existence of archives. They have no easy access to the archives finding aids. Very few archival institutions have bothered to deposit in the creating agencies copies of their finding aids. Even in today's technologically oriented society when on-line access is relatively easy to provide, there are no terminals linking the record creating agencies to the archival institutions where the records are kept. It is of course not feasible to transfer the actual information from the archival documents onto the computer medium but it is relatively easy to automate the finding aids and therefore give the users instant access to the existence of the required information. Only eighteen of the institutions had automated or started automating their finding aids while forty seven had not. It was also significant that only nineteen institutions were able to affirm that user departments had facilities that made it possible for them to know what relevant material had been created by their departments or by other departments or was being stored in the Records Centre. Thirty six institutions responded in the negative on this point.

The crux of the matter is that archival institutions have not, if one is to borrow a term common in the private sector, adopted an aggressive marketing policy. That policy hinges on getting the product onto the market rather than on waiting for the market to come to the product. But how could archival institutions achieve this without compromising their traditional scholarly status conferred on them by generations of archivists and archival practice. If the archivists were to adopt such an approach, what would be the implications for the decision makers? There is no doubt that at the moment there is a gap between the archives and the decision making process. That gap can be closed by the adoption of new strategies on the part of the custodians of the archives as well as on the part of the decision makers.

In the first instance it is necessary to analyse and quantify with precision the needs of the decision makers. Decisions are being made all the time and at all levels of the governmental structure. The type of decision as well as the quality of the decision is of course dependent on the nature and type of the administrative structure in which it is being made. Some decisions need to be made quickly while others cannot be made without extensive consultation. The speed with which the decisions are made or the length of time that it takes to make the consultations will of course vary. The basic aim at all times however will be to make the decisions as quickly as possible whether or not some consultation must take place.

The nature of governmental structures also varies tremendously as does the process by which decisions are reached. The efficiency of the bureaucratic machinery and its slowness or inefficiency is both a matter of opinion as well as of values. It is thus very difficult to prescribe universal solutions that would enhance the decision making process. The needs of the decision makers will vary according to the particular circumstances. In all cases however, it is necessary to analyse the needs of the decision makers.

The analysis will indicate the particular needs of the decision makers. In general, information is required in order to conduct all aspects of the governmental process. The formulation, presentation and control of budgets, the recruitment, maintenance, advancement and discharge of personnel, the purchasing, receipt, storage and issuance of goods, the formulation and implementation of projects, all these depend on information and require that decisions be made at various points. The questions of who to recruit, promote or discharge, of what project to give priority to or to allocate additional resources, the countries to establish diplomatic relationships with or cut ties, the policies to follow in relation to the economy, the choice of systems to provide basic services such as health, education and social security, the importation and exportation of certain products, the development and promotion of youth, of sport and of culture - all these need and require that decisions be made.

But decisions are not easy to make because their making has consequences that are often difficult to accurately forecast. All decision makers ideally want to make the best decisions. Making the best decisions implies the consideration of all the relevant factors. Considering all the relevant factors however can only be done when all

the relevant information has been brought together.

Decisions at the higher levels of administration are that much more difficult to make. The rise of Management Information Systems and Decision Support Systems testifies to the need to have information bases that can assist the process of management and decision making.

Besides assessing the needs of decision makers for information it is also necessary to assess the adverse consequences that result from the absence or non-usage of information. Archival institutions however, by and large do not make these assessments. They do not have that constant dialogue with their users which can enable them to keep tabs on the user requirements. The users on the other hand do not bother to engage in that dialogue which can assist them in their decision making. For the archival institutions to raise the awareness in the users as to the existence of the archives they have to have some idea of what is currently being done in the ministries and departments. They need to monitor the policies and projects of the ministries and departments, of directions being plotted, of programmes that are succeeding or faltering and of areas of shortage in terms of the supply of information. Such monitoring is obviously an ongoing process requiring a feedback mechanism or perhaps the physical presence of the archive institution in the actual ministry or department. It can however be achieved by for instance identifying staff in the ministries and departments who are then sensitized as to the role and existence of the archives so that they keep track of developments at the archival institutions as well as monitoring the situation in the ministries and departments and bridge the two.

The constant monitoring or timely provision of archives to the decision makers can also be achieved by utilising today's technological tools. If the finding aids to the archival collections are automated it should be possible to provide on-line facilities to the users or depositing ministries and departments enabling and encouraging the decision makers to scour the complete range of their information resources before making decisions. Quality decisions should be based on consulting all the existent information resources as contained in the current, semi-current and non-current records. A good decision maker should thus in the first instance find out what information exists in those records that are held in the offices and the registry. He should then check to see if relevant information exists in the records that are kept in

storerooms and strongrooms, that have been transferred to the Records Centre or that have become archives. He should with ease be able to identify that information which has been disposed of and no longer exists so that he does not waste his time searching for that which is no longer available. And yet many decision makers do not have the capability or the means to identify and access the relevant information resources available. The existence and availability of archives need not be provided on an on-line basis. Printouts can regularly be produced and distributed to the relevant offices. Whenever new material has been added to the archival collection or transferred to the Records Centre or from the Records Centre to the archives then this information must be made known to the decision makers.

At present archival institutions attempt to publicise the existence of information in their collections by publishing a variety of catalogues. In recent times it has become fashionable to produce catalogues that describe special collections or that are based on a particular media such as photographs, maps, slides and films. This is indeed an important and crucial service but there is a shortcoming in terms of the distribution of these publications. It is possible and likely that such publications are deposited in the libraries of the ministries and departments. One would certainly hope so and yet one suspects that this may rarely be the case. One can imagine the difference and the impact it would make to the decision makers if each office in a ministry had as a standard reference point copies of the records transfer lists, to show what is in the storeroom or strongroom or that which has been transferred to the Records Centre. There would equally be a big difference if within the offices there existed copies of the finding aids to the collections or catalogues as produced by the archival institutions. The decision making process would also be profoundly affected and enhanced if periodically the decision makers received updates on what had just been processed or added to the archival collections or if the decision makers were constantly reminded that as they were about to survey a particular geographical area to decide on the siting of a road or dam, that other ministries or departments had also done some work in the area perhaps for different purposes but having gathered vital and valuable data and information.

The question of the siting of a dam or road is a very interesting case in point. For the road or dam to be built it will be necessary not only to study the terrain and

identify the most suitable route or position but the choice of siting would have to be made against the impact of such siting in terms of the population and other affected elements such as vegetation and animals. Quite often therefore the ministry or department that builds roads and dams will study the socio-economic factors, the distribution of population, the location of farms and villages, the economic and social infrastructures and the impact, benefits and drawbacks of various alternative sitings. Such investigation may be made in absolute ignorance of the fact that other ministries and departments have undertaken similar work. The department of housing services may have researched the population patterns in order to decide where to site a new village or housing estate. The Department of Education may have undertaken investigations in attempting to find the best possible site for a new school, technical college or university. The Ministry of Health may have also done some work in relation to the building of additional health facilities such as clinics and hospitals.

It can be seen that while the activities of ministries and departments may be specialised in their own way they nevertheless within any given geographical context all relate to that same geographical entity. All of them will approach their responsibilities differently but it should not be forgotten that they are all dealing with the same physical area, the same population, the same infrastructures. It has already been indicated from the questionnaire responses that duplication of effort is obviously taking place, that certain disasters could have been avoided and that mistakes have been made through failure to access the available information resources.

5.6 Priority of archives

The challenge to decision makers is the need for the fuller exploitation of the information resources for the enhancement of the decision making process. That archives are not fully utilised is partially a result of the ignorance and unawareness of their existence. It is however not merely a failure by the archival institutions to make available the archives to the decision makers. Archival institutions are operating with very scant and inadequate material and financial resources.

Thirty nine institutions reported that they received favourable budgetary allocations in relation to other institutions and departments and yet a very significant number, twenty seven, indicated that they did not receive

favourable budgetary allocations. Of those that received favourable allocations, twenty one did not have adequate staff. Only three institutions, the Archivo Nacional of Ecuador, the Archives Nationales of Luxembourg, and the Arquivo Historico de Macau, were able to report that they received top priority in the allocation of budgetary resources. The majority, forty five, received reasonable priority, while nineteen said that they received low priority.

Amongst those who felt that they had top budget priority only two, the Arquivo Historico de Macau and the Archivo Nacional of Ecuador were able to say also that they had adequate staffing. Of the institutions that received reasonable priority, twenty three did not have adequate staffing.

The barely sufficient and insufficient resources naturally affect the level of services that archival institutions can offer. Archival institutions are not self-financing or profit making organisations. They depend on being allocated requisite funding from their parent organisations. That funding of course is allocated in relation to what is seen as the relevance of the archival service and it is here that the paradox exists. The decision makers, who are in one way or another involved in the allocation of the resources declare that they value the archival service and say that it merits a high priority rating. The archivists themselves are equally convinced of the necessity of their work and of the priority status that it must be accorded. And yet in the final analysis, the archival institutions do not get this recognition.

That archival institutions do not get this recognition must surely be because the reality of the situation rather than the declared or professed importance is that archives are not at the moment able to compete well with other needs and priorities. The provision of welfare services, the increase in the number of police to combat crime, the building of clinics and schools, all these will take their place in the priority ratings ahead of the provision of archival services. But this is not surprising for as we have seen archives are not being used nor have they been demonstrated to be of critical value to the decision making process or to the day to day conduct of the business of the record creating agencies.

For archival institutions to merit a larger share of the national resources they will have to expand on their role but this does not mean that they should reduce or

neglect their traditional and customary role of ensuring that records created by public entities and therefore belonging to the public are preserved and made available to the public so that the latter can scrutinize them and make the public entities publicly accountable for their actions. This is a noble and indeed mandatory role. Historians and researchers, genealogists and social scientists, all these have a legitimate claim to the records and archives.

The right of the public to inspect archives was asserted at the time of the French Revolution towards the end of the eighteenth century. Today most archival legislations enshrine this principle which has in certain countries been taken further in the form of the "Freedom of Information". Basically, there are two major methods by which access to archives is being granted. At one end there are those countries where access is granted to all records at the time of their creation with the proviso that access cannot be given to certain designated and specified records. At the other end there are those who operate a blanket closure period by which all records and archives are closed until they reach a certain age this generally being between twenty, twenty five and thirty years, the latter being more common. Such a system makes it easier to grant access although one can immediately see the drawback that there must be many records and archives which need not be closed for such an inordinately long time.

But does the question of access and the point at which it is granted have any relevance for the decision makers both in terms of the information that they themselves create and that which others create for them. Decision makers requiring information in the first instance go to their own registries to find out how their predecessors have dealt with certain problems and situations. They then go to libraries to see how other researchers have examined certain issues and provided solutions. The books, periodicals and articles that they are looking at in the library are however by and large the results and fruit of the labour of the general public, a public that has certain limitations in terms of the information that is available to it. There are times when researchers are allowed access to records held in Records Centres and departmental registries but this is the exception rather than the rule. The general researcher conducts his research in the field and backs it up with a consultation of the available published and unpublished sources. If his access to the records of Government is unduly delayed, his work is accordingly handicapped and devoid of directions that could have been taken had such information been accessible. To

this extent therefore delayed opening of archives affects the output of the researching public and in turn affects the quality of external sources that a decision maker consults in order to make decisions.

The requirement is for the introduction of mechanisms to facilitate early access by the public to archives. Appropriate controls must of course exist to ensure that information of a sensitive or confidential nature or that can hamper the governmental process is not made available. The decision makers must realise that it is to their advantage to make such material available to the public at the earliest possible moment.

Archives however should be made to have a primary relevance to those who created them. If the latter profess that they need them then they should be given access. Giving this access does not merely mean compiling finding aids and putting them in the Search Room for consultation by those who should venture to visit the Search Room. Many decision makers are far too busy to make this visit unless they are aware or are assured that the information they are seeking is available. Archival institutions will need to realign their methods, practices and policies in order to keep in step with the requirements of those who in the first instance are the reason for the existence of the archives.

6.PLANNING FOR ARCHIVES

6.1 The planning process

Archival institutions like any other institution must utilise the planning process. They need to formulate clear and concise plans covering the long term, medium term and short term period. Having formulated these plans they must introduce controls for monitoring and evaluating progress and for making the necessary adjustments. The plans of archival institutions should cover the main areas of acquisition, processing, storage, preservation and provision of reference services.

Many archival institutions do not have any planning processes at all, and they are doing no more than survive from day to day. The planning process requires that the objectives of the plan be clearly stated, that the methodology to be used be stated, that expected results or outputs be tabulated and quantified. The resources necessary for the achievement of the plan should also be stated.

It has been emphasized over and over again that the process of acquisition should not start at the point that the record creating agencies telephone to say that they wish to deposit some records or at the point that a truck arrives with a load of records. The involvement of the archivist should extend to the beginnings of the generation of those records. Whether the archivist becomes involved in the actual management of current records or not he should nevertheless have some form of control or supervision over this process. The plan therefore should include a quantification of the anticipated records output and as a corollary the quantity of records expected to be deposited in the records institution. Such a quantification necessitates studying the organisational structures of the ministries and departments and forecasting increases or decreases in records generation capacities over given periods of time. This is obviously an involved exercise but unless this is done, how could one ever plan and make provision for instance for sufficient Records Centre or Archives storage facilities as well as the manpower and infrastructural requirements. The assessment of the records generating capacities requires assessing the staffing positions in the ministries and departments, assessing the rate of usage of such commodities as paper, pens, registers, carbons, magnetic tapes and disks. Such figures are readily available in departments and all that is required is their collection

and collation.

The importance of establishing this position cannot be over emphasised. In a commercial situation, one cannot plan a production plant without investigating the market. To assume that the demand is there without any precise investigation can have disastrous consequences resulting for instance in the purchase and installation of a plant whose production capacity is so large that in one week it produces sufficient to cover a year's consumption. Similarly with archival institutions requests for the allocation of more buildings and facilities should only be made against very precise forecasts of the needs. At the moment very few archival institutions have made this quantification and this explains why they are often unable to win their arguments for an allocation of larger resources. The result should be a quantification of the annual record output, of changing output patterns of expected output over a given medium or long term period. This will be measured and compared with existing facilities and the need to increase such facilities to cope with the record output.

The second step in the planning process is the quantification of the records handling practices in the ministries and departments. Such an analysis is necessary as a way of examining how records are being received and processed, how they are being used and stored, how they are being retired from active to semi-active use. By carrying out such an analysis it is possible to identify those areas where there are major records handling weaknesses, linking some of these to the efficiency of the administrative machinery and identifying the consequences in relation to the records that eventually become the archives. Those who allocate budgetary resources often do not understand the need to improve the archives services. During budget submission meetings, there is the example of an archivist who in failing to convince the Ministry of Finance officials decided on a new strategy for the following year. He took a photographer with him, visited various provincial centres, photographed records storerooms in absolute chaos, obtained photographs of records decimated by water, insects and rats, documented cases of records lost or unlocated and came back and made a slide presentation to the Finance officials who promptly saw and accepted the magnitude of the problem and allocated him the resources to open and provide archival services at provincial levels. This case is not unusual but illustrates very clearly the absolute necessity of systematic planning which in turn requires in-depth research and gathering of the relevant facts. For

archival institutions therefore the point being made here is that to plan and to present convincing cases there is no substitute to a thorough diagnosis of the record creating patterns and systems of the records creating agencies. No educationist can formulate medium and long term plans without studying the population trends, the geographical spread and concentrations of the populations and thus assessing the educational need in the medium and long term. How many archival institutions have however carried out the research? How many of them have in their possession the organisation charts and structures of the records creating agencies? How many know the number of clerks employed in their records creating agencies? How many know the number of private secretaries in existence and how many even know with precision the categories of records being produced, or the quantities? In the end it is a question of bidding for a large allocation of resources, of being denied such resources and feeling dejected and unrecognised. This is however not because archival services merit low or medium priority but because archival institutions have not been able to demonstrate why they should be given top priority.

Once the records creating patterns and forecasts have been made an examination of the Records Centre and archives facilities should then be made to establish in the first instance the position at that time and then to make comparisons over a given period of time. Annual reports of archival institutions are scattered with figures of quantities of archives accessioned, number of researchers consulting archival materials, number of archives consulted, visitors coming to the galleries and exhibitions, telephone and written inequities received and actioned and so forth. Quite often comparisons are made with the previous year but it is rare that such comparisons are made over a longer period to assess the situation over the last five or ten years or to postulate the likely trends over the next five or ten years. The existing infrastructure must then be linked and related to the record generating units by the way of establishing the adequacy or inadequacy of the existing archival resources and infrastructures and to show the resource needs in the medium and long term.

6.2 Planning for accommodation

When the above has been done it will then be possible to formulate the short, medium and long term plan of the institution. The plan will comprise certain basic and central elements and requirements. The archival service can only work if it has the requisite premises. Without

sufficient storage accommodation for instance it is not possible to continue to receive records and archives. In the responses to the questionnaires, thirty seven institutions indicated that they had suitable and adequate accommodation while another thirty four said they did not have. A significant number of archival institutions therefore are operating from inadequate and insufficient accommodation sometimes from premises that were never meant for archival storage. At the other end there are obviously those who have succeeded in this battle and have plenty of space. Whatever the situation however it is necessary to quantify the requirements for accommodation not just for the records and archives but for the staff and equipment and researchers. It is a well known fat that some institutions have succeeded in securing new archives accommodation but this has sometimes filled up or become inadequate even before it was used. Something will obviously have gone wrong with the planning .

6.3 Planning for staffing

The plan should specify the staffing that is required at various levels. The staff requirements should of course be closely linked to the work that needs to be done, to the quantities and types of records and archives to be received processed and serviced, to the support activities required such as typing, procurement, material management and cleaning. The problem at the moment is that such staffing requirements are made without empirical demonstrations of their necessity. How can one argue that an additional ten professional archivists are needed if one cannot quantify the output of each archivist and relate it to the anticipated rate of accessioning or deposit of records and archives. Without any models for relating the number of archivists to para professional and support staff how can staff requirements be postulated. Without a mechanism for assessing average processing outputs for archival staff how can one be sure that processing backlogs are a result of too much archival material being accessioned and requiring processing and not the result of an inefficient processing system. It is not accidental for instance that some factories have adopted the production line. They have found that given a certain number of people and certain goods to be produced allowing each of these people to process the product from stat to finish is slower and more inefficient than putting these people in a production line and allowing each to do only a limited range of tasks within the total production process. In archival institutions the tendency is to assume that a fair day's work is being done. It is rare to find works and study

officers being utilised or invited to come and analyse the records and archives processing, to identify and eliminate areas of inefficiency and to isolate ineffective performance by staff.

What is being argued for is that the formulation of plans by archival institutions should be used as an opportunity for reviewing the performance of the institution as a means of achieving efficiency and therefore making realistic bids for additional resources. Each institution must closely examine the manner in which current resources are being deployed and utilised.

Staff need to be trained to undertake archival work. It has for a long time been recognised that archival work is extremely specialised and that training facilities are not easily available. The training of certain service staff is relatively easy as training facilities are available at various institutions. Thus the secretaries, typists, accountants and receptionists can be recruited with qualifications in these areas and easily put on upgrading programmes.

Training archivists, records managers and technicians however poses more problems especially in developing countries where such facilities may be non-existent or may be found only at a regional level which in turn may create other problems such as the availability of foreign currency to send trainees to other countries. The plan however, must identify the overall training needs, the availability of training facilities, the recruitment and increase of the establishment and the financial resources required. These must then be phased into the plan, and phased over the plan period. Account should be taken of such factors as the wastage that will occur as trained staff resign and leave for greener pastures.

6.4 Planning for equipment

Any plan will also indicate the equipment requirements of the institution. Archival institutions need equipment at two levels. At one end they need equipment for routine administrative work in the offices and this includes typewriters, word processors, duplicators, photocopiers, telexes and telefaxs. It is interesting again to note how by and large archival institutions tend to lag behind other sectors in the adoption of office technologies. A very tiny sprinkling of institutions have telexes, for instance, let alone fax facilities. Word processors are being used but again it is to a very limited extent. Is it a question

of failure to secure such facilities or is it that such facilities are not seen as essential to archival operations? It is difficult to provide an answer and yet one can for instance see how fax technologies can enhance the retrieval of documents for depositors, giving them instant visual access to documents stored a long distance away.

The second category of equipment required is that which is used for the handling of archives in one way or another. This equipment falls into three major groupings. In the first instance, equipment is required for the conservation of archives. A primary duty of the archivist is the conservation and preservation of the archives to ensure that archives can survive for as long as is possible. As the archives are received into the repository they should be fumigated to kill any insects that may have infested them. It goes without saying that the storage area of the archives should have certain environmental controls to reduce or eliminate dust and dirt, protect records from direct sunlight, provide storage temperatures that have no major and frequent fluctuations and an atmosphere that is not too humid or too dry. A good storage environment prolongs the life of the archives but even so, there are other factors to be considered. Quite often, by the time that the archives reach the repository, they will have been badly damaged or will be in a fragile condition. Constant use by researchers can also lead to the degradation of the archives. For these and other reasons, therefore, it is necessary to provide facilities for the repair and reconditioning of the archives.

Archival institutions as a matter of routine normally have conservation laboratories in which damaged archives can be repaired and restored. Such laboratories need a lot of equipment ranging from hygrometers, pH metres, washing basins and drying racks to laminators and binding presses. The equipment requirements need to be identified and quantified, related to the increases in record accumulation forecast in the plan and to the conservation requirements.

Besides the conservation equipment there is need for reprographic equipment. Basically it is necessary to reproduce archives for one reason or another. Some archives are reproduced in order to provide researchers with copies of the documents. Reproduction is also done as a means of conservation or as a means of reducing the physical volume of the records or archives. A reprographic unit will therefore generally have equipment for reproducing maps and photographs, slides, films and for

microphotography. It is necessary to have a fully equipped reprographic unit because the work of the unit is a crucial element in the work of the institution. Reprographic equipment, like all other technologies, is not standing still. The planning therefore must aim both at replacing equipment that has come to the end of its working life as well as to acquire new equipment in line with any new technological innovations. The acquisition of appropriate reprographic equipment with modern technological capabilities can enhance the decision-makers access to archives. And yet few institutions make use of Computer Assisted Retrieval systems, for instance, for their microfilm collections.

Archival institutions are gradually automating. While indeed only eighteen out of sixty five institutions that responded to the question on automation had automated or were in the process of doing so, nevertheless this is an inescapable process especially since the records creating agencies themselves are automating. The nature of computer records is such that any institution that receives them must itself have a computing capacity. Archival institutions can also have several applications for computers. At one end they can use the computers to handle their finding aids and thus facilitate and speed up access to the records and archives. They can also input certain categories of documents so that such documents can be retrieved on-line by the depositors. The developments currently taking place with Image Management Systems will certainly have an impact and greatly increase access to information. Computers can however be used also to service the machine readable records that will have been deposited by the ministries and departments. There are very few countries, if any, in which computers are not being used in one way or another to carry out certain functions.

Machine readable records are similar to manual records in many respects but they also have very distinct differences. In terms of their archiving they are distinct in the way in which they can be erased, altered or amended, and in the way in which they need the provision of certain equipment in order to be accessed. As long as these records are being created their archiving and retention must be considered. The dangers of magnetic tapes and disks being destroyed by fire or being accidentally erased are so real that the deposit of duplicate copies of the records in an archival institution is an absolute must. Such deposit will also provide the depositors with a measure of security and relief. Those drawing up plans must therefore in the first instance carry out a survey of

computer applications in the ministries and departments to identify those areas that have been computerised, the types of records being generated, the computer equipment being used and the types of software. Even where machine readable records are already being received and stored, information technology is changing so rapidly that continual surveying is needed to ensure that the archives facilities remain at par with the changes in the record creating agencies. The plan must therefore consider the storage and processing facilities required and the provision of access.

The short, medium and long term plans of the archives are the ones that determine the financial resources that are required. If the plans have been well prepared, presenting in a clear, logical sequence, the position of the archival institution in relation to the agencies that it is servicing, showing the changes that are likely to be occurring in the plan period and justifying the resources that are required, it should be relatively easy to bid for and receive a larger allocation of the resources. No-one could guarantee that all that is requested is granted, for this rarely, if ever, happens but one would hope that the submissions would have taken account of this factor so that after the budget trimming, the allocated amounts are reasonably close to the actual requirements.

As plans are implemented they need to be monitored, controlled and adjusted periodically. The short term plan will relate to the coming financial year. As this progresses assessments are continually being made. The performance of the institution in that financial year and the achievement or non-achievement of certain programmes determines adjustments that need to be made to the medium and long term plans. The medium term plans tend to cover a period of some three to five years. In formulating the mediun term plans the overriding consideration should be the assesser priorities and requiremnets of that given institution. In the Developing World however, where there are many constraints in terms of the resources available and especially the amount of foreign currency that can be secured it is useful to link the Medium Term Plan to the International Council on Archives Medium Term Plan. This makes it easy to plan as well as to review and monitor progress. It is essential also in that the plans for implementation through the ICA programmes will usually have a regional and international involvement. While they may be for implementation by the archival institution, they may determine the programmes and priorities of that institution, and make certain facilities available such as

training workshops and certain equipment and resources as in cases where pilot projects are undertaken. The long term plans relate to longer periods and this can be done over a ten year period, for instance, or over fifteen years.

6.5 Budget Planning

In presenting budgets it is extremely essential to justify them. It is necessary, of course, to account for the expenditure of previous allocations. The point that has been made in terms of quantifying the production of the staff is equally, if not more valid in relation to the expenditure of financial resources. There must be systems for paying staff, ordering supplies, receiving goods, issuing stocks and charging for services rendered. Because many archival institutions are governmental agencies they tend to be caught in such bureaucratic regulations which require that their monies be voted by Parliament but that in return the income derived by them be receivable into the public coffers. This puts many institutions in a difficult position where, for instance, they can demonstrate very clearly that the demand for reprographic services is growing, that the income being received into revenue is higher than expenditure but where, because they do not directly recycle the income for the purchase of the required reprographic materials, they find that they are allocated insufficient resources to buy the required inputs. It can also become difficult as in cases where, for instance, the telecommunications bill becomes high because written inquiries must be responded to and letters posted, where telephone inquiries have to be answered, where researchers without access to payphones have to use institutional phones and pay for them and yet the revenue that accrues goes into general revenue and is not taken into account when determining the allocations to be made on the telecommunications vote.

The basic elements of the budget should include salaries, allowances, travel and subsistence, capital expenditure and inputs required to maintain the various services. It is a matter of regret that many archivists do not make adequate provision for attendance at various forums and instead want to rely on all expenses paid offers. Such provisions should be made especially for regional gatherings.

7. LEGISLATIVE AUTHORITY

7.1 Archival legislation

Archival institutions are service organisations whose existence stems from the need to cater for records and archives that have been generated. Whether at federal, central government or local authority level, these organisms comprise a number of units each of which has its own authority within certain defined limits. The archival institution is therefore external to these units in so far as it is not a component of, or particular to any one of them. Being an outsider the archival institution therefore requires a defined basis for providing its services.

In most countries there are Acts of Parliament or decrees that provide the legislative authority required for these services to operate. These acts and decrees define the rights of the archival institutions and provide it with the authorisation necessary for it to carry out its functions. The work of the archival institutions is necessarily determined by the powers so conferred. Various studies and comparisons have been made of the legislations that exist in various countries, and the general provisions of the legislations include:

7.1.1 A definition of the materials that constitute records and archives with distinctions being made between public records and public archives and perhaps between these and private records and archives.

7.1.2 A definition of the powers of the institution in respect of:

7.1.2.1 The ability to inspect defined records and archives.

7.1.2.2 The supervision of the welfare of the records and archives.

7.1.2.3 The transfer of records from the creating agencies to the archival institution.

7.1.3 The rights of individuals and citizens in accessing records and archives.

7.2 Legislative requirements

Archival institutions need legislative authority in order to function effectively. At the minimum they require the right and ability to inspect records whilst they are still held by the creating agencies. They also require the right and ability where necessary to compel transfer as they see fit of certain records and archives to the archival institution. This right is made necessary by the fact that where the mismanagement of records and

archives is identified, where the records and archives are clearly in danger or where the records and archives would benefit from transfer then transfer must be compelled even against the wishes of those who would want to retain them further in their departments and ministries. In the responses received forty one institutions said that they had the power to compel transfer against twenty four who did not have this capability.

The destruction of records should be controlled by the archival institution. This is necessary to ensure that no records with archival value are disposed of before appropriate considerations and appraisal processes have been applied. It is pleasing to note that fifty eight institutions control the destruction of records while only nine have no control over the destruction of the records. This control however must be viewed against the realities of the difficulties of imposing this control and perhaps the most accurate assessment was that made by Botswana National Archives which noted that while the legislation says that records cannot be destroyed without reference to the National Archives, the actual situation is different.

Legislation must also provide mechanisms for preventing the export of archives. This is especially relevant in developing countries or in former colonial territories where significant losses have occurred.

Since the legislation determines the capability of the archival institutions to perform their duties properly, the adequacy of the legislative powers which archival institutions have is very important. It is pleasing to note that the majority of archival institutions feel that they have adequate legislative authority. Forty five countries felt that their legislative authority was sufficient while twenty six felt that it was insufficient.

The legislation that an institution operates under must reflect the needs of that institution at that moment. There is a need for the constant adjustment of the legislation. While nineteen institutions were operating under legislation passed in the period between 1980 and 1989 it was also clear that many others were operating under laws that had been passed a long time ago.

Period legislation enacted	Number of Institutions
1980 - 1989	19
1970 - 1979	14
1960 - 1969	14
1950 - 1959	6
1940 - 1949	1
Pre - 1940	3

It was significant that Northern Ireland was operating under legislation passed in 1923, the Scottish Record Office under an Act of 1937 and Ecuador under a decree of 1938. Also interesting was that some archivists were unable to determine the legislation under which they operated and one answer merely said "Act of .....". Dominica did not have any legislation.

7.3 Placement of institutions

The operations of an archival institution are determined by its placement. For an archival institution to function effectively it needs to be in a ministry that is in harmony with its activities, a ministry which is able to facilitate the archival operations and which can enforce any requirements over the other ministries. Making comparisons of placings is rather difficult because the designation of ministries differs from country to country and there tends to be different combinations of functions. In logging the responses below the predominant ministry is the one that was considered. Hence while in the responses, Culture and Tourism, Culture and Sports, Youth, Sports and Culture were mentioned, Culture was taken as the predominant ministerial element under which the institution fell.

Ministry	Number of Institutions
Culture	27
President/Prime Minister	15
Education	9
Interior/Internal	5

Arts	3
Justice	2
Information	2
Natural Resources/Environment	2
Communications	2
Community Development	1
Administrative Services	1

It is significant that so many institutions should be under the Ministries of Culture or Education. To a certain extent this placement has historical roots where archives were considered as a cultural activity because of their place in history and historical research. There is no question that archives still have a paramount value as a component of a nation's cultural heritage but archives are increasingly becoming the by-product of a long process in which other considerations are more paramount. The involvement of archival institutions in the management of current and semi-current records is increasing and gradually taking up a great deal of the energies and resources of many institutions. This involvement is making it necessary to reconsider the placement of archival institutions and to demand their transfer from culturally oriented ministries. The number of archival institutions that fall directly under the President or Prime Minister is relatively high supporting this gradual shift to a position where archival institutions need the backing of the highest authority in order to carry out their mandate and to be seen to be above or across the government service organisation rather than just be seen as a segment or component of one ministry only. Where, for instance, the archival institution falls under the Ministry of Arts, and even Fine Arts for that matter, other ministries cannot see the relevance when the archival institution seeks access to their records and tries to impose controls for the better management of the records.

While sixty of the institutions were satisfied with their placement and only nine were not, it is perhaps time to seriously review the placement of archival institutions. As long as archival institutions continue to be identified primarily as cultural organs then they will in the competition for the allocation of scarce resources continue

to be given the low priority that cultural activities generally receive. It is not accidental that nineteen of the institutions felt that they received low budget priority. Significant also was that five institutions felt that they had insufficient legal authority, that their placement was wrong, that their budget allocation was unfavourable and that they had low priority. These were the National Library and Archives Service of Ethiopia, the Brunei National Archives, the Provincial archives of Alberta in Canada, the National Archives Division of Trinidad and Tobago and the National Archives of Zambia. Those that indicated that placement was wrong generally wanted to be placed under a ministry or agency with government wide responsibility. In this respect perhaps the Australian Archives that fall under the Ministry of Administrative Services would provide a useful example as does the National Archives and Records Administration of the United States of America which is an independent agency in the Executive Branch of the Government.

8. STAFFING

8.1 Staffing Levels

The question of staffing affects most of the institutions and an analysis of the responses shows the extent of the problems.

8.1.1 Only twelve institutions were able to report adequate staffing levels:
Scottish Record Office - United Kingdom
National Archives - United Arab Emirates
Archives Records Management of New South Wales - Australia
Archive Nacional - Ecuador
National Archives - Indonesia
Karnataka State Archives - India
Landesarchiv Saarbrucken - Federal Republic of Germany
Public Record Office - United Kingdom
Australian Archives - Australia
Kenya National Archives - Kenya
National Archives of Malaysia - Malaysia
General Department on Archives
at the Council of Ministers - Bulgaria
Ku Husminister des Landes Nordrnein
- Westfallen Landesarchiv - Federal Republic of Germany

8.1.2 The remaining institutions (62) all indicated that they did not have sufficient staff.

8.1.3 Twenty one institutions indicated that while the budget allocation was favourable the staff was inadequate.

8.1.4 Only two institutions, the Archivo Nacional Ecuador and the Archivo Historico de Macua were able to say that they had a top budget priority as well as adequate staff.

8.1.5 Twenty three institutions said that while they had a reasonable budget priority nevertheless they had inadequate staff.

When one examines the levels of staffing however it is clear that most archival institutions are battling with hopelessly inadequate staff, and this explains why they have to restrict their activities.

The size of a country's population has a bearing on the amount and quantity of archives generated. The size of the population will determine the quantity of birth and marriage certificates issued, the number of schools required to educate the children, the number of hospitals in existence and the number of civil servants who are there to service the governmental machine. While there is no direct relationship

between the population and the size of the bureaucracy in so far as there can be overstaffing, understaffing or an inadequate provision of the necessary services. nevertheless the size of population has an impact on the quantity of records and archives created. A comparative schedule of the staffing position and population size of the respondents will thus demonstrate clearly the extent of the understaffing. An examination of Appendix shows that in relation to population the staffing levels of most institutions are hopelessly inadequate.

8.1.5.1 Natural archival institutions in ten countries have a total staffing less than ten including Chile, with a population of 12.1 million.

8.1.5.2 National archival institutions in thirty one countries have a staff of less than fifty.

8.1.5.3 Only six national archival institutions have a staff in excess of five hundred.

An archival institution however is not much different from other institutions in today's world. As with other institutions it has to compete for scarce financial and material resources. It has to design programmes and justify them to receive support. It has to control and account for expenditure. It has to recruit, motivate and control staff just like any other enterprise. In most institutions the support staff outnumbers the archivally trained and expert staff and to this extent therefore requires to be managed even more so according to recognised theories and practices of personnel management. Like all other institutions the archival institutions have stocks that they control and account for requiring mechanisms for the receiving, storage and issuing. Like other institutions, they must identify suppliers of certain goods, place and progress orders and receive and pay for the goods. For archival institutions to be adequately managed therefore further training or additional skills are required beyond basic archival training. Training in archives administration should be no more than a basic grounding to which modern business managerial skills should be added. And yet the responses to the first questionnaire indicated a different situation.

8.2.1 Asked if the institutions' employed staff with the specific designations the responses were as follows:

DESIGNATION	YES	NO
Personnel/training/human resources manager/officer	21	32
Marketing manager/officer	5	47
Public Relations Manager/Officer	13	38
Procurement Officer/Buyer	12	42

It was clear that while many institutions did not have such specifically designated staff they nevertheless had staff who spent some of their time doing this work. It may be asked if the giving of specific designations has any relevance when the work is still being done. The answer is yet, it is important. The having of specifically designated staff reflects the importance which an institution attaches to the activity. It is one thing to have an archivist undertake public relations duties, it is another to have Public Relations Officer. The question of post designation is linked to the training given to the staff.

8.2.2 In most countries, different training courses are available at different levels. In government, there are often institutions charged with the responsibility of training civil servants, including archivists, in various areas. While it would be easy to assume that archival institutions avail themselves from time to time of such opportunities the actual situation shows that only a tiny proportion of archivists receive soecific training in these areas.

9. Conclusion

9.1 The responsibilities of the archivists

Records and archives are an essential and integral ingredient of the decision making process. The manner in which the creation, processing, storage, retrieval and usage of the records and archives is controlled and organised determines the extent to which the records and archives will be useful to the decision making process. To a very large extent, at the present moment records and archives are only partially being used by decision makers and the reasons for this are to be found both in the way in which the records and archives are being managed as well as in the way in which decision makers are able to use the records and archives for decision making.

Essentially the basic problem is that archival institutions have a narrow interpretation of their role and responsibility. Shackled by a historical tradition that sees archival work as a scholarly, historical and cultural occupation, it has been difficult to appreciate the changing environment in which they have to operate and to identify and satisfy the needs of a critical section of interests that they should be servicing. A general conservatism has also meant that the archival institutions have not been able to take advantage of changing technologies leaving them in an untenable situation in which the organisations that they service, and to whose activities they owe their own existence, have so changed their composition and requirements that the archival service is totally inadequate and inappropriate.

On the part of the archival institutions, the need is for the examination and appraisal of the role being played, the identification of the needs of the records creating agencies, and the realignment of priorities and programmes to meet the needs of the organisations being serviced. Such a change requires that some of the traditional methods and concepts of archival work be abandoned, that some be revamped to bring them into consonance with the realities of the present, and that new approaches be adopted both to improve the management of archival institutions and to provide a relevant service. This does not require the abandonment of the tried and tested principles of records management and archives administration. It only calls for profound adjustments to meet the needs of today.

9.2 The responsibilities of the decision makers

Whatever changes and adjustments are made by archival institutions will be nullified if those to whom the services must be provided do not or cannot make use of the services. The decision makers must therefore move from the position of paying mere lip service to the importance of records and archives to a situation in which records and archives are indeed a crucial element of the decision making process. The decision makers must first and foremost identify their requirements for quality decision making. They must have mechanisms for evaluating the decisions made, for assessing the correctness or otherwise of decisions made, for quantifying the shortfalls in certain decisions and for guiding those who have to make decisions. It is obvious that many decisions are being made based only on partial information. It is also clear that the decision making process could be enhanced if the decision makers were able to utilise all the available information resources. The maximum usage of information resources is however a skill that is taught and to this end it is necessary that these skills be imparted to the decision makers. Those who have to make decisions must go through formal training that equips them to make the best possible use of the information resources in order to make the best possible decisions.

The decision makers must also realise that they have the capability to reorganise the information system. This reorganisation should encompass the entire life-cycle of the record from the point of creation to disposal or archiving. The flow and provision of information requires that controls be introduced at all points of the information cycles. The resources necessary to achieve a better organisation of information should be found and should be given priority. It is a priority that will justify itself not only in terms of costs recovered through the application of better records and archives management techniques but also in terms of implications on Government activities, projects and programmes.

APPENDIX 1

LIST OF NATIONAL ARCHIVAL INSTITUTIONS THAT RESPONDED

INSTITUTION	COUNTRY
Direction General des Archives Nationales	Algeria
Australian Archives	Australia
Osterreichisches Straatsarchiv	Austria
Department of Archives	Bahamas
National Archives	Botswana
Archivo General De la Nacion	Brazil
National Archives	Brunel Darussalam
General Department of Archives	Bulgaria
National Archives	Canada
Arquivo Historico Nacional	Cape Verde
Archivo Nacional	Cyprus
Public Library Service	Dominica
Archivo Nacional	Ecuador
National Library & Archives	Ethiopia
Bundesarchiv	FederalRepublic of Germany
National Archives	Finland
Archives Nationales	France
Direction Generale des Archives de Guinee	Guniea
Instituto Nacional De Estudos E Pesquisa	Guine Bissau
New Hungarian Central Archives	Hungary
National Archives	Iceland
National Archives	Indonesia
National Archives	NorthernIreland
Public Record Office	Ireland
Officio Centrale Per I Beni Archivistici	Italy
National Archives	Japan
National Archives	Kenya
Archives Nationales	Luxembourg
Arquiva Hitorico de Macua	Macua
National Archives	Malawi
National Archives	Malaysia
Alele Museum Corporation	Marshal Islands
State Archives of the Netherlands	Netherlands
Archivo Nacional de Nicaracua	Nicaragua
Riksarkivet	Norway
Portugese Institute of Archives	Portugal
Nazceina Dyrekcia Archiwow Panstowowych	Poland
National Archives	Sevchelles
Direction des Archives du Senegal	Senegal

National Archives	Singapore
Centro De Informacion Documental De Archivos	Spain
Department of National Archives	Sri Lanka
National Archives	Swaziland
National Archives	Trinidad & Tobago
National Archives	United Arab Emirates
Public Records Office	United Kingdom
National Archives and Records Administration	United States of America
Arhiv Jugoslavije	Yugoslavia
National Archives	Zambia

APPENDIX 2

LIST OF RESPONDENTS TO SECOND QUESTIONNAIRE

AUSTRALIA

1. Department of Defence
2. Department of Social Security
3. Department of Employment, Education and Training
4. Department of Transport and Communication
5. Commonwealth Treasury
6. Department of Aboriginal Affairs
7. Department of Finance
8. Department of Industrial Relations
9. Attorney General's Department
10. Department of Community Services and Health
11. Department of Veteran's Affairs

BOTSWANA

1. Food Resources Department
2. North West District Council
3. Tirelo Setshaba Department
4. Department of Labour and Home Affairs
5. Roads Department
6. Department of Electrical and Mechanical Engineering
7. Department of Surveys and Lands
8. National Assembly
9. Department of Wildlife and National Parks
10. Selebi - Phikwe Town Council
11. Postal Services Department
12. District Administration
13. Finance/Government Computer Bureau
14. Botswana Institute of Administration and Commerce
15. Ministry of Education
16. Ministry of Agriculture
17. District Administration
18. Central Statistical Office
19. South East District Council
20. Geological Survey
21. District Administration
22. Botswana Technology Centre
23. Botswana National Library Service

ZIMBABWE

1. Ministry of Lands, Agriculture and Rural Resettlement
2. Ministry of Primary and Secondary Education
3. Ministry of Information, Posts and Telecommunications
4. Ministry of the Public Service
5. Ministry of Public Construction and National Housing
6. Ministry of Defence
7. Ministry of Finance, Economic Planning and Development
8. Ministry of Health
9. Ministry of Transport

YUGOSLAVIA

1. Ministry of Traffic
2. Ministry of Trade
3. Ministry of Finance
4. Ministry of Development

SINGAPORE

1. Ministry of Finance
2. Ministry of Community Development
3. Ministry of Law (Headquarters)
4. Ministry of Health (Headquarters)
5. Ministry of Law, Land Office

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National Archives	Brunei Darussalam
General Department of Archives	Bulgaria
National Archives	Canada
Arquivo Historico Nacional	Cape Verde
Archivo Nacional	Cyprus
Public Library Service	Dominica
Archivo Nacional	Ecuador
National Library & Archives	Ethiopia
Bundesarchiv	Federal Republic of Germany
National Archives	Finland
Archives Nationales	France
Direction Generale des Archives de Guinee	Guinea
Institute National de Patrimoine Culturel	Guine Bissau
New Hebridean Central Archives	Hungary
National Archives	Iceland
National Archives	India
National Archives	Netherlands Antilles
Public Records Office	Jamaica
Direzione Generale per gli Archivi	Italy
National Archives	Japan
National Archives	Kenya
Archives Nationales	Luxembourg
Archivo Historico de Macau	Macau
National Archives	Malawi
National Archives	Malta
Wiele Papers Corporation	Marshall Islands
State Archives of the Netherlands	Netherlands
Archivo Nacional de Nicaragua	Nicaragua
Riksarkivet	Norway
Portugese Institute of Archives	Portugal
Naczelna Dyrekcja Archiwow Panstwowych	Poland
National Archives	Seychelles
Direction des Archives du Senegal	Senegal

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8. National Assembly
9. Department of Wildlife and National Parks
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22. Botswana Technology Centre
23. Botswana National Library Service

ZIMBABWE

1. Ministry of Lands, Agriculture and Rural Resettlement
2. Ministry of Primary and Secondary Education
3. Ministry of Information, Posts and Telecommunications
4. Ministry of the Public Service
5. Ministry of Public Construction and National Housing
6. Ministry of Defence
7. Ministry of Finance, Economic Planning and Development
8. Ministry of Health
9. Ministry of Transport

YUGOSLAVIA

1. Ministry of Traffic
2. Ministry of Trade
3. Ministry of Finance
4. Ministry of Development

SINGAPORE

1. Ministry of Finance
2. Ministry of Community Development
3. Ministry of Law (Headquarters)
4. Ministry of Health (Headquarters)
5. Ministry of Law, Land Office

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APPENDIX 3

STAFFING LEVELS IN RELATION TO POPULATION

INSTITUTION	COUNTRY	NO OF PROFESSIONALS	NO OF PARA PROFESSIONALS	NO OF TECHNICAL STAFF	OTHER CATEGORIES	TOTAL	POPULATION SIZE in millions mid - 1985
Archivo General De La Nacion	Brazil	6	14	6	31	157	135.6
Archivo Nacional de Nicaragua	Nicaragua	4	2	4	5	15	3.3
Archives Nationales	Luxembourg	4	2	6		12	n.d
National Archives	U.S.A.	320	264	392	294	1120	239.3
Archivo Nacional	Costa Rica	7	14	11	40	72	2.6
National Archives	Zambia	4	2	1	35	42	6.7
Dept. of Archives	Bahamas	5	1	5	15	21	n.d
Naczelna Dyrekoja Archiwow Panstwowych	Poland	<-------	591	-------	461	1052	37.2
General Dept. of Archives	Bulgaria	500	20	120	25	665	9.0
Instituto Nacional De Estudos E Pesquisa	Guine-Bissau	1	4	2		7	n.d.
National Archives	Malaysia	63	29	57	294	437	15.6

INSTITUTION	COUNTRY	NO OF PROFESS-IONALS	NO OF PARA PROF-ESSIONALS	NO OF TECHNICAL STAFF	OTHER CATEGORIES	TOTAL	POPULATION SIZE mill mid - 1985
National Archives	Kenya	33	31	24	163	251	20.4
Archivo Nacional	Chile	5	1			6	12.1
National Archives	Iceland	7	1	4	6	18	n.d
Osterreichisches Staatsarchiv	Austria	27	21	8	84	140	7.6
Arquivo Historico de Macau	Macau	3	5	1		9	n.d
National Archives	Trinidad & Tobago	2	5	4	19	30	1.2
Arquivo Historico Nacional	Cape Verde	2	2	2	4	10	n.d
Australian Archives	Australia	11	13	1	374	399	15.8
Arhiv Jugoslavije	Yugoslavia	61		9	16	86	23.1
Direction des Archives du Senegal	Senegal	77		4	3	84	6.6
State Archives	Netherlands	130		38	112	280	14.5
Uffico Centrale Per l Beni Archivistiei	Italy	653		4035		4688	57.1
New Hungarian Central Archives	Hungary	30	17	5	44	86	10.6

INSTITUTION	COUNTRY	NO OF PROFESS-IONALS	NO OF PARA PROF-ESSIONALS	NO OF TECHNICAL STAFF	OTHER CATEGORIES	TOTAL	POPULATION SIZE (mill) mid - 1985
National Archives	Japan	7	4	3	32	146	121.1
Centro de Informacion Documental							
De Archivos	Spain	7		5		12	38.6
Direction General des Archives							
Nationales	Algeria	12	7	6	28	53	21.7
National Archives	Canada	349	----125----		326	800	25.4
Alele Museum Corp.	Marshal Islands	1				1	n.d
National Archives	Kiribati		1	1	1	3	n.d
Direction Generale des Archives							
de Guine	Guinea	2	8	5	16	31	n.d
Public Library Service	Dominica				3	3	6.4
Portugese Institute of							
Archives	Portugal	14	12			26	10.2
National Archives	Indonesia	15	54	128	112	314	162.2
National Archives	Brunei Darussalam	1	3	1	13	18	n.d

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INSTITUTION	COUNTRY	NO OF PROFESS-IONALS	NO OF PARA PROF-ESSIONALS	NO OF TECHNICAL STAFF	OTHER CATEGORIES	TOTAL	POPULATION SIZE mill mid - 1985
Archives Dept.	Mauritius	2	1	7	11	21	1.0
National Archives	Swaziland	5	1		6	12	0.6
							Note 2
Archivo Nacional	Ecuador	2	1	3	4	10	9.4
National Library & Archives	Ethiopia	5	8	12	9	34	42.3
National Archives	Finland	34	<-------49------->			83	4.9
National Archives	Singapore	3	10	2	28	43	2.6
Dept. of Nat. Archives	Sri Lanka	19	3	29	91	132	15.8
Riksarkivet	Norway	55	15	22	54	146	4.2
Public Records Office of the United Kingdom	United Kingdom	71	110	84	358	623	56.5
National Archives	Seychelles	1	1	2	12	16	n.a
National Archives	Malawi	7	9	1	8	25	7.0
National Archives	United Arab Emirates	2		1	1	4	1.4

INSTITUTION	COUNTRY	NO OF PROFESSIONALS	NO OF PARA PROFESSIONALS	NO OF TECHNICAL STAFF	OTHER CATEGORIES	TOTAL	POPULATION SIZE mill mid - 1985
St Luca National Archives	St. Lucia		1	1	3	4	n.d
Public Records Office	Cyprus	1			4	5	n.d
Archives Nationales	France	80	100	40	80	300	55.2
National Archives	Ireland	6			17	23	36.
National Archives	Botswana	5	5	1	7	18	1.1

Population figures from World Bank World Development Report 1987